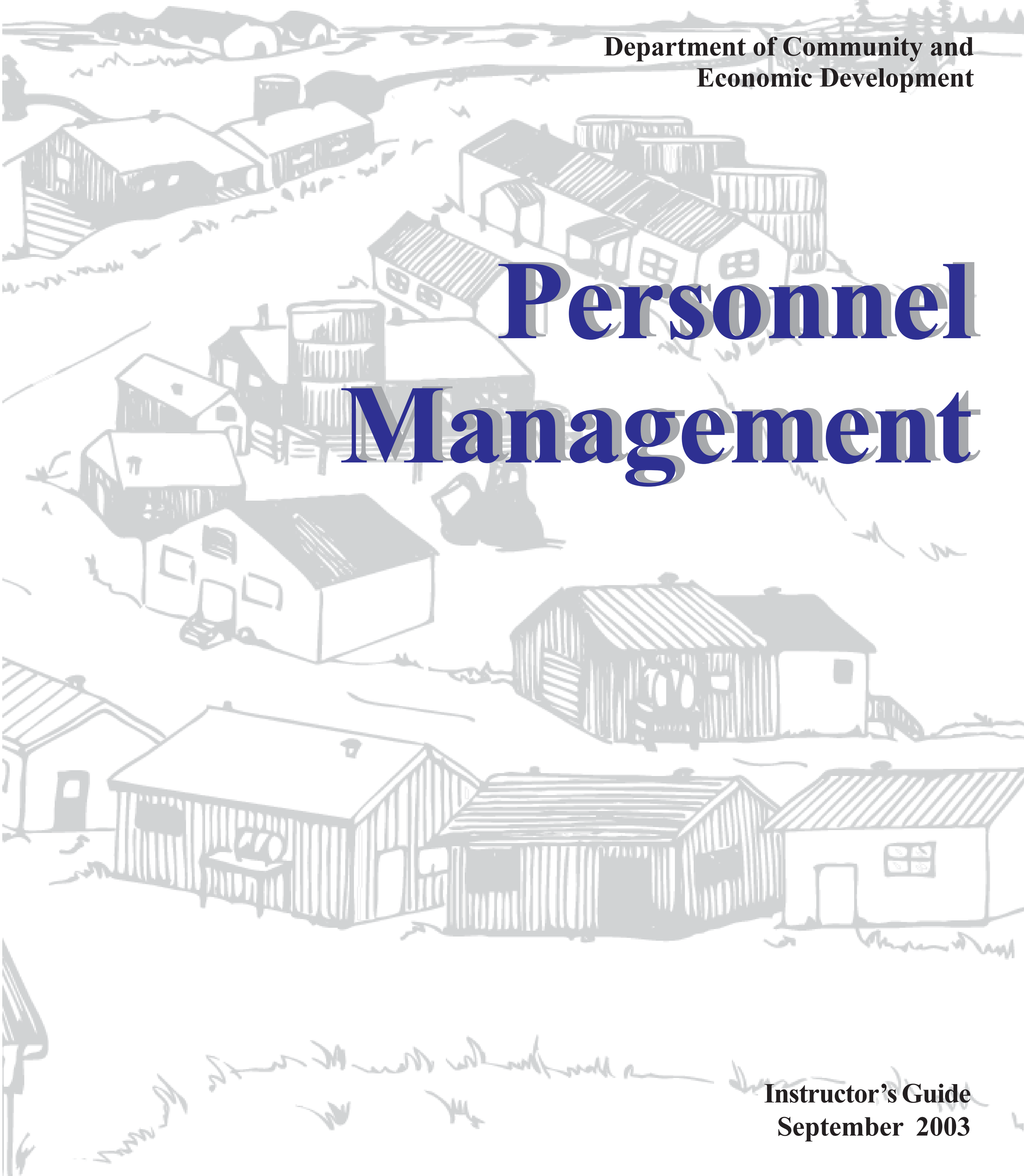
State of Alaska

Department of Community and
Economic Development



Personnel Management

Instructor's Guide
September 2003

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Personnel Management

Instructor's Guide

State of Alaska
Department of Community and Economic Development
Division of Community Advocacy
Rural Utility Business Advisor Program

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February 2001

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Table of Contents

Personnel Management

Section A: Instructions to the Instructor

Section B: Course Material

Background for the Course

This course was developed as one of the series of six courses to provide utility managers of small sanitation facilities a basic understanding of the principals and practices involved in managing water and wastewater sanitation facilities. Each course is a 32-hour class designed to be presented in week-long workshops.

The first course in the series is Introduction to Utility Management. This course provides an overview of what it means to manage a utility and breaks the management of a utility into five sections: organizational management, personnel management, planning management, operational management, and financial management. The five remaining courses each cover these topics in greater depth. The order that a student completes the courses is unimportant other than the Introduction to Utility Management course should be taken first. It is hoped that by the time the utility manager completes all six of these workshops, they will have a good understanding of the tools needed to address most of the issues that they will face in managing a utility.

Often we are asked, “Who should attend this class?” The classes are targeted at managers of water and wastewater systems in communities with a population between 100 and 1,500. Communities smaller than 100 will usually have very limited systems and staff and may not have the capability to do all of the processes described in this course. Those systems that serve communities over 1,500 in population typically have professional staff that have already implemented the processes described here. What if there is not a person with the title of utility manager? There may not be a person with that title; however, there is usually one person that is responsible for overseeing the day-to-day operation of the utility. This person can actually be a council member, mayor, chief, operator, or clerk. The easiest way to identify this person is to ask either the clerk or the operator “If a customer came to you with a complaint that you could not fix immediately, who would you tell them to talk to?” That person is the one who assumes the utility manager’s duties.

Personnel Management Course

This course is the advanced class for managing personnel in rural water and wastewater utilities. Topics of the course include:

- Personnel Policies and Procedures
- Safety Policy and Programs
- Selecting and Hiring Staff
- Orientation and Training
- Regulations and the Law
- People, Communication, and Conflict
- Motivation and Management Skills

Specific Course Requirement

This course requires that students bring a copy of their utility's personnel policies and procedures manual and the employee safety handbook. Participants may be notified of this requirement in several ways. First, the course announcement and any registration materials should note the requirement. Second, if additional one-on-one follow-up is made with the participant, the participant can be reminded of this requirement. A model personnel policy and procedure manual and a model employee safety manual are included in the appendix for those students who do not have either item.

True Pass Utility

Personnel Policies and Procedures Manual

City of True Pass, Alaska
May 2000

True Pass Utility

Employee Safety Handbook

City of True Pass, Alaska
May 2000

Support Materials and Room Setup Suggestions

Teaching material checklist:

- ❑ Worksheets and worksheet answers
- ❑ Pre- and post- tests and test answers
- ❑ Copies of exercises (and any exercise materials)
- ❑ Copies of reference materials
- ❑ Overhead projector
- ❑ Screen for overhead projector
- ❑ Acetate overheads
- ❑ Extension cord
- ❑ Flip charts and easel
- ❑ Broad tipped markers for flip charts
- ❑ White board markers (if necessary)
- ❑ Masking tape for hanging up flip chart sheets on walls
- ❑ Student registration forms
- ❑ Daily sign-in sheet
- ❑ Prizes
- ❑ Laptop and projector (if using PowerPoint)
- ❑ Instructor's Guide for each instructor
- ❑ Desk tents for student's name and community
- ❑ Completion certificates
- ❑ Kitchen timer

Provide for each student:

- ❑ Student Manual
- ❑ Note pad or blank paper
- ❑ Yellow highlighter
- ❑ Pens and/or pencils

Students should bring:

- ❑ Copy of their utility's personnel policies and procedures manual and safety handbook

Contact the students in advance of the course and ask them to bring the two manuals. Some utilities may not have adopted a personnel policies and procedures manual or a safety handbook. In that case, students may use the models in the appendix.

Room Setup Checklist:

- ❑ Is there enough room to have a separate area for the lecture and exercises?
- ❑ Are electric outlets close to where you need them? Do they work?
- ❑ Are chairs and tables set up to allow clear view of screen for each student?
- ❑ Do all students have enough room to lay out materials?
- ❑ Do you know the location of light switches, heating controls, emergency exits, and restrooms?
- ❑ Do you know if the meeting room administrators allow flip charts to be taped up on the walls?
- ❑ Are arrangement made for snacks and beverages?

Suggested Room Layout:

If room size and shape permits, a U-shape layout of tables is recommended. This allows students to see and interact with each other and with the instructor.

Layout of the Instructor's Guide

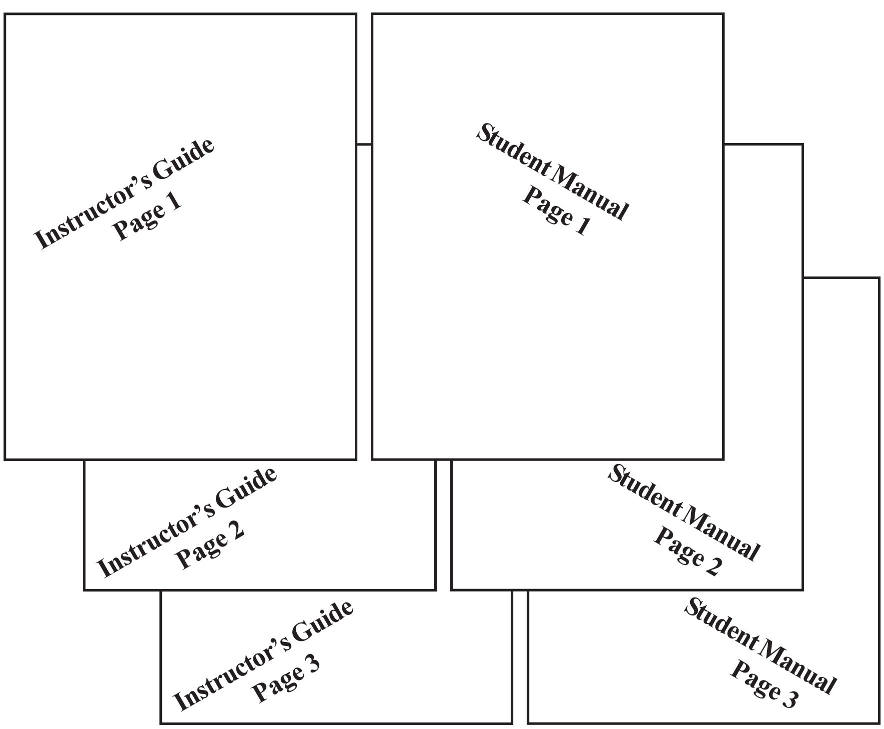
The Instructor's Guide contains both instructions for the instructor and the complete Student Manual. Starting with the Overview, the instructions to the instructor are found on the left page while the student manual is printed on the right page. Both pages are keyed to a certain overhead, which is displayed at ¼ size on the student page and thumbnail size on the instructor's side.

It is anticipated that the overheads will be the focal point of the teaching. The *Speaker Notes* are keyed to the points listed on the overhead. The *Instructor Tips* section is intended to give the instructor some background information on why these points are listed and the connections that should be made. The *Ideas for Real Life Examples* may help you personalize your instruction. It is **strongly recommended** that the instructor take time before the class to jot down some notes of personal experiences in this section. In teaching these workshops over the past several years, we have found that it was these real life examples that have created the greatest connections with the students. These connections are the key in getting discussions going as the course progresses.

The instructor's page also has a *References* section. If there are any materials that are especially useful to illustrate a point, we have tried to reference them in this section. Copies of most referenced materials can be found in the Appendix.

If an exercise has been developed that seems to fit into the curriculum at this time, green text will appear in the *Speakers Notes*. That does not mean that you must use an exercise at that point. It is just a clue that if you would like to use an exercise, there is one in the curriculum that will fit with the topic being discussed. The specifics of the exercises will be listed in the Suggested Course Exercises starting on page xi.

Finally, there is a *Time Bar* located right above the *Speaker Notes* box. The *Time Bar* is intended to let you know where you should be in the chapter time-wise.



Delivery Sequence

The Personnel Management course consists of an overview, seven lessons, and a course review. The overview and course review include the pre- and post-tests so the presentation sequence for them will be unique. The presentation sequence for Lessons 1 through 7 will be similar. Each of these 4-hour blocks will contain approximately 90 minutes of lecture, 80 minutes for exercises, 20 minutes to complete the worksheet, and 30 minutes to discuss the worksheet, leaving 20 minutes for breaks (usually two ten minute breaks). The time for the exercises can be split between several short ones or one longer one. Lessons 1 and 2 are combined into one 4-hour block of time.

The overview, which contains the pre-test, has this sequence:

- Welcome remarks
- Housekeeping items
- Icebreaker exercise
- Introduction lecture
- Pre-test

There is some freedom in altering this lesson plan. Sometimes it is hard to get everyone together to start on time. It may take more or less time for folks to complete the pre-test, or depending upon the number of students, the recommended exercise may take more time. Hopefully you can use the first recommended exercise to start discussions and make connections with the students that will carry through the class.

In the course review, the key is to leave enough time to grade the test. To do this, the recommended lesson sequence is:

- Review material
- Administer the post-test
- Discuss test with students
- Hand out certificates if you have them (or they can be mailed later)

The students may take a break between completing the post-test and discussing the test so the instructors have time to grade the tests.

Pre-Test and Post-Test

The pre-test and post-test are not used to judge a specific level of competency for the course. Both tests have the same questions, and they are in the same order. This makes each test useful in two ways. The first is to see how much each student learned during the class. The second is to evaluate how well the class was taught.

Based on past experience, it is typical to see a 30% to 60% increase in scores from the pre-test to post-test. However, if the students scored high on the pre-test, it is common for the increase to be under 10%.

The most useful purpose for the pre-test and post-test is to guide the instruction. Looking at the topics of the pre-test questions that were missed will give the instructor an idea of which areas need to be emphasized while teaching the course. Evaluating which questions were missed on the post-test can sometimes reveal ideas discussed during the class that were presented in a confusing and contradictory way. While this is of little use to the students of that class, it will help improve this course for future classes. A tally of the "missed most" questions allows the instructor to identify confusing, contradictory, or just plain bad questions.

The pre-test and post-test consist of 50 questions. The answer key provides both the answer and the page number in the student manual where the topic was discussed.

Using the Overheads

The overheads are the primary visual tool used to present the course material. We have found that using overhead transparencies works best. Overhead projectors are found in most regional centers and don't require the instructors to haul equipment to the location. The overheads are also available as a PowerPoint presentation.

The course material is integrated with the overheads. Advise the students if an overhead is skipped or reordered so that they will not be confused with the order found in their student manual.

Using the Exercises

Many exercises were developed to enhance the training of this course. This was done to allow the instructor flexibility in presenting the class materials. Which exercises are used will vary with class size, materials available, interest in certain topics, or time available during the session.

If an exercise seems to fit the curriculum, it will be noted (**in green**) in the *Speaker's Notes*. You are not required to use the exercise if it is shown. It is only a suggestion. You should go through the course in advance and select which exercises you want to use. You may want to keep some of the more versatile exercises in reserve in case you finish a lesson early.

Exercises are a key piece of the Personnel Management course materials. In designing the training, there were several reasons for including a large number and various types of exercises. They allow the participants to apply principles and ideas being taught. By allowing/requiring the participants to apply techniques or approaches to situations, they develop a greater understanding of the topic and how it can be applied in their utility. It also allows them to learn about some of the pitfalls that can happen!

Another reason for using exercises is to vary the pace of the workshop. It is strongly encouraged that there be separate areas for listening to the lecture and doing the exercises. This gets the participants up and physically moving, and it allows them to keep their books and materials in one place without having to clear the tables to do the exercise or break into groups.

The exercises vary between individual, small groups, and large groups. Twelve people per class is ideal because that number can be easily divided into groups of 1, 2, 3, 4, or 6. We have found that groups of 3 or 4 work best. It allows everyone to participate but is not so large that a couple of people do all the work. Whether to keep the same small groups together throughout the course or to constantly change them really depends on the personality of the participants. If the participants seem to be shy, it is better to keep the groups the same. This allows them to become comfortable with their teammates throughout the week.

The exercises come in a packet as part of the Instructor's Guide. Each exercise has its own set of instructions including time needed, materials needed, format (individual, small group, or large group), purpose, instructions specific to that exercise, and wrap-up. If there is a handout for the exercise, it will be after the instruction page. If appropriate, a separate answer key follows the handout. All handouts and answer keys should be copied in sufficient numbers for all of the students prior to the start of the lesson.

Using the Worksheets

The worksheets are designed to act as a lesson review. You have the option of distributing the worksheets at the beginning of each lesson so that participants can fill them out as you present the materials, or you may distribute them at the end of each lesson and allow participants time to fill them out.

The course, as planned, allows time to complete the worksheets at the end of each lesson. There should also be time programmed into the lesson to review the worksheets. In giving this course in the past, we have found it extremely helpful to vary the method of the review. Different methods include:

- Going around the room in sequential order asking each student a question
- Randomly asking students a question
- Requesting students raise their hand to answer a question
- Dividing students into teams and making a competition of it. This is done by alternately asking each team a question. If they answer it correctly they get one point. If they miss it, they lose a point, and the other teams get to try to answer it. If you are going to use this review method, it is advisable to break them into teams and give them five minutes (or some appropriate but limited time) to complete the worksheet first. This requires them to work as a team to get all the answers.

Answer sheets to each worksheet should be handed out **<u>after</u>** the review period is completed.

Using the Action Plans

Doing Action Plans grew out of a need for helping the participants with follow up. The course introduces a large amount of information, ideas, and processes. Ideas that come to students in the early part of the workshop tend to get lost by the end of the workshop.

At the end of each section, an Action Plan is available for the student to write down at least one thing (and no more than three) that they want to do in their community to improve things. On the final day after the post-test, participants can take the seven action plan sheets that they have and prioritize the top three things that they feel need to be done and can be accomplished in their community.

Generally, as part of the summary wrap up (while someone is scoring the post-test), a flip chart can be put up for each community and the top three action plan items can be listed and discussed. This is useful for a variety of reasons:

- It gives the participant a chance to say what they feel and sometimes modify or add to their action plan list.
- It gives participants a chance to see what other communities are struggling with and what they are doing, and it opens up opportunities for networking between communities.
- The instructor can take note of what participants are focusing on. This can give a hint at where the training was successful or where more training may be needed.

Action Plan:

1. ______________________________

____

____

____

2. ______________________________

____

____

____

3. ______________________________

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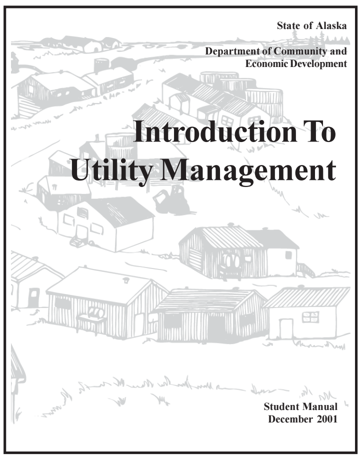
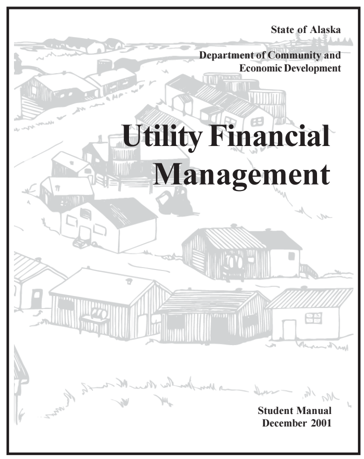
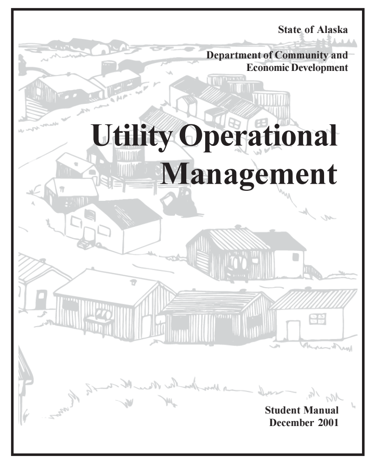
Reference Materials

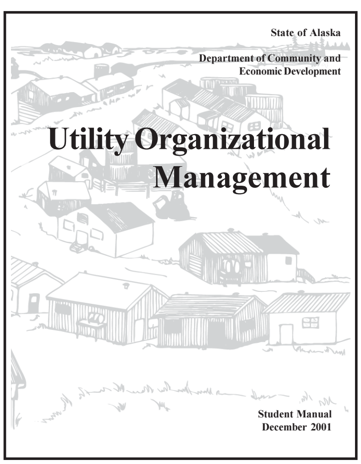
In the Instructor's Guide there is a box called *References* that may contain a title to reference materials that may be found in the student manual's appendix. When you see an item listed in this box, you should take time to review the referenced material with the participants so they become familiar with the contents.

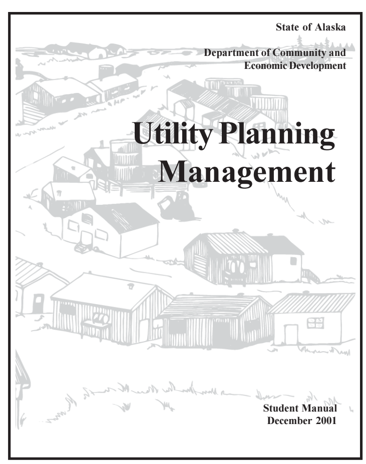
It is recommended that all of the student manuals for the DCED Utility Management Program courses be available. You can set up a table in the back of the room for the student manuals to be displayed.







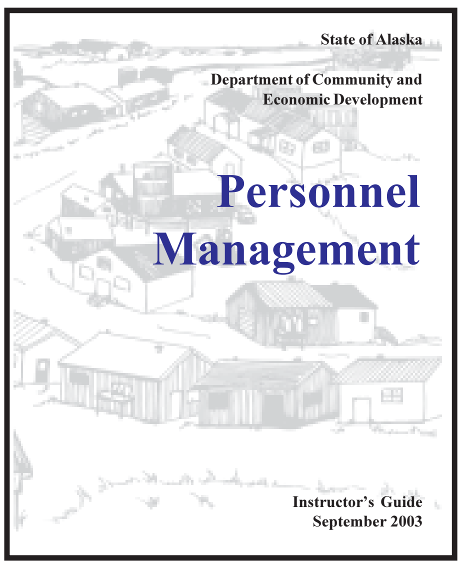




Course Exercises Index

Section B

Course Material

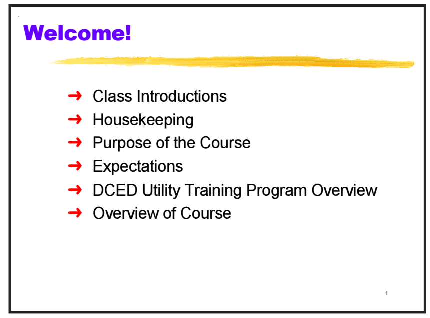


Overview

Instructor Tips

The Overview and Introduction will take 4 hours to complete.

- Make sure everyone has a student manual and course agenda.
- Organize the room to fit the size of the group.
- Test all visual equipment ahead of time.
- Check supplies (bulbs, markers, flip charts, extension cords, desk tents, etc.)
- Be flexible (i.e. ready to do the presentation without electronic media)



Ideas for Real Life Examples

Potential Discussion Questions

Speaker Notes

TIME BAR (45 minutes)

Introduce yourself giving a brief description of your credentials.
Pass around a workshop sign-in sheet.
Pass around a workshop participant contact sheet and arrange for copies to be made available.
Point out location of fire exits, telephones, restrooms, drinking fountains, etc.
Explain the requirements to get continuing education credits:

- Completion of pre-test and post-test
- Attendance every day
- Participation in class

Share the learning objectives of being able to identify the six courses that make up the DCED Utility Training Program and the seven lessons included in the Personnel Management Course.
State that the purpose of the course is to improve understanding of personnel functions for the operation of a utility.

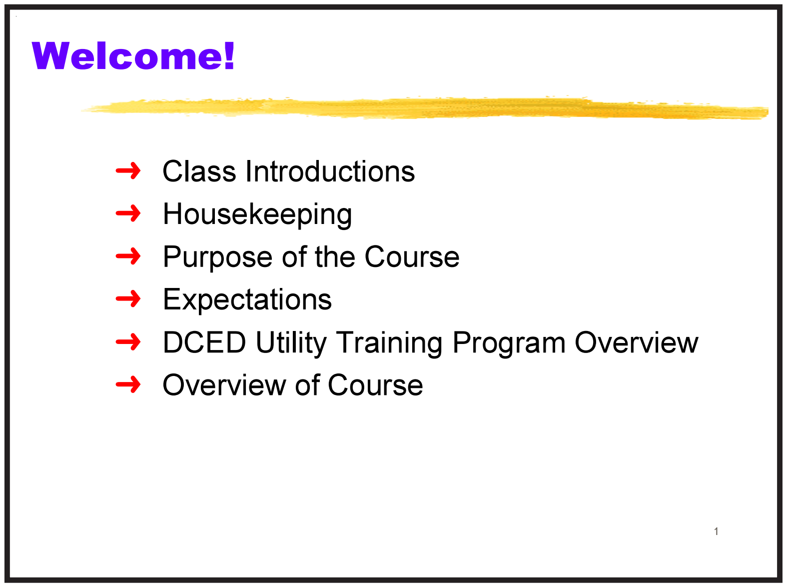
Exercise 1, 2, or 3: Ice Breaker

Overview of DCED Utility Training Program

Overview and Introduction: 4 hours

Schedule:

- ✔ Welcome (1 hour)
- ✔ Icebreaker (15-30 minutes)
- ✔ Course Overview (1 hour)
- ✔ Pretest (1 hour)
- ✔ Introduction (15-30 minutes)



Learning Objectives

After completing this lesson you should be able to identify the six courses that make up the DCED utility training program and identify and briefly describe the 7 training lessons that make up the Personnel Management Course.

Overview

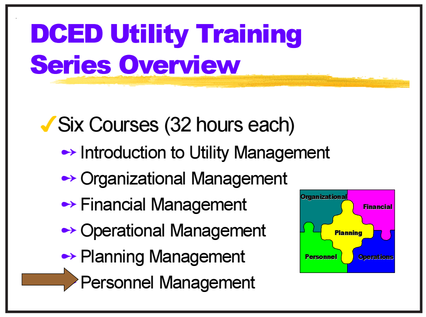
This lesson is an introductory lesson that describes the basic outline of the DCED Utility Training Program and the outline of the seven Lessons that make up the Personnel Management Course.

The Governor's Council on Rural Sanitation sponsored development of this curriculum along with the Sanitation Planning Guidebook because they discovered that it is not enough to provide money and engineers and materials to rural communities. Building a good water and sewer system is part of building a good community, and it takes the whole community to do that, working as partners with agencies and consultants. This course is designed to improve your understanding of the personnel functions of operation a utility.

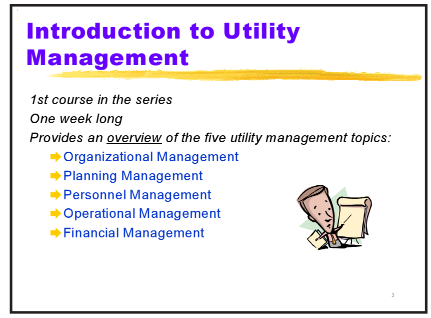
Overview

Instructor Tips

- Slide A is an overview slide to introduce the students to the six utility courses offered.
- Slide B is for you to generally discuss the contents of the *Introduction to Utility Management* Course.
- Don't spend too much time on either slide as additional information is covered in the individual courses.
- You may want to have the *Introduction to Utility Management* Student Manual to show the students.



Slide A



Slide B

Ideas for Real Life Examples

- Think of some typical problems faced by utility managers (finding funding, staffing, training, budgets, etc.)

Potential Discussion Questions

- Ask students if any of them have taken one of the six course offered. If they have, ask them to share what they learned.
- Discuss how the six courses help to develop the skill level needed to deal with these problems.

References
Introduction to Utility Management Student Manual

TIME BAR **(1 hour 5 minutes)**

Speaker Notes

There are six week-long courses offered by DCED. They are:

1. Introduction to Utility Management
2. Organizational Management
3. Financial Management
4. Personnel Management
5. Operational Management
6. Planning Management

Each course is 32 hours long

The Introduction to Utility Management course is the first of the six course series. It provides an overview of five utility management topics.

- ✓ Organizational Management
- ✓ Planning Management
- ✓ Personnel Management
- ✓ Operational Management
- ✓ Financial Management

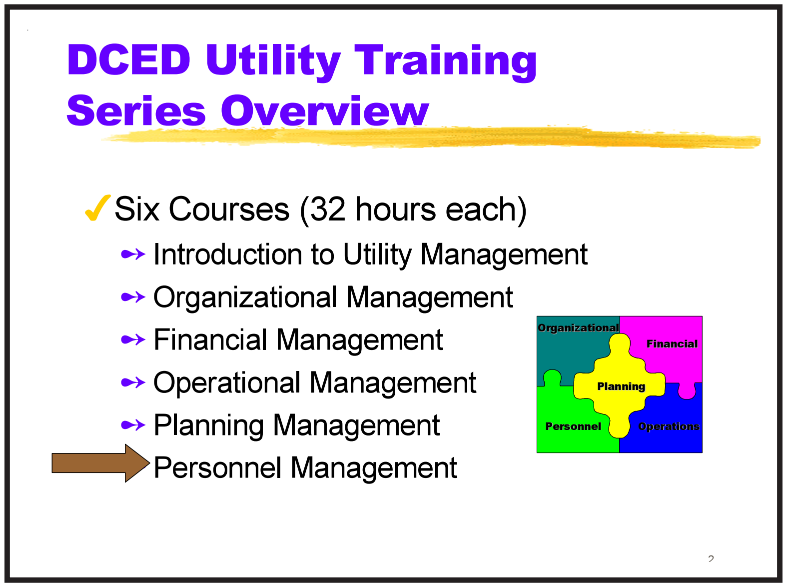
The goal of the Introduction to Utility Management course is to provide utility managers of small water and wastewater facilities a basic understanding of the principles and practices involved in managing their facilities. Small facilities are communities of 100 - 1,500 in size. By taking the introduction course, students should be well prepared to go on to more advanced courses on each specific topic.

DCED Utility Training Series Overview

There are six week-long courses offered by DCED. They are:

1. Introduction to Utility Management
2. Organizational Management
3. Financial Management
4. Operational Management
5. Planning Management
6. Personnel Management

Each course is 32 hours long. This course is but one of those six week-long courses.

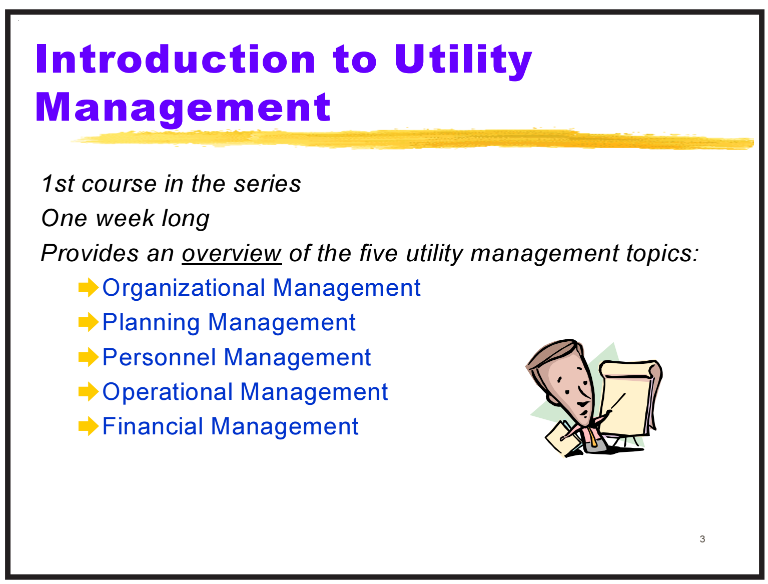


Introduction to Utility Management

This course provides an overview of the five utility management topics:

- ✓ Organizational Management
- ✓ Planning Management
- ✓ Personnel Management
- ✓ Operational Management
- ✓ Financial Management

The goal of the 32-hour introductory course is to provide utility managers of small water and wastewater facilities a basic understanding of the principles and practices involved in managing their facilities. Small facilities are communities of 100-1,500 in size. By taking the introductory course, students should be well-prepared to go on to the more advanced courses of each specific topic.



Overview

Instructor Tips

- Slide A allows you to generally discuss the contents of the Organizational Management Course. You may want to display a copy of the *Organizational Management* student manual.
- Slide B is for you to generally discuss the contents of the Utility Financial Management Course.You may want to display a copy of the *Financial Management* student manual.

Slide A

Slide B

Ideas for Real Life Examples

- Provide an example of how the skills learned in these courses will help the students do their jobs using:
  - ✓local laws
  - ✓roles and responsibilities
  - ✓financial reports
  - ✓utility rates

Potential Discussion Questions

- Ask students how do local laws influence the governance of the utility.

References

Organizational Management Student Manual
Financial Management Student Manual

TIME BAR **(1 hour 25 minutes)**

Speaker Notes

The Organizational Management course provides more details on the following topics:

Level of Service
Organizational Structure
Roles and Responsibilities
Utility Ordinance
Customer Agreements
Communications and Administration

The course addresses the governance of a utility, including local laws and legal documents. In addition the course focuses on the organization of the entity that will manage and operate the utility including an overview of the responsibilities, authority, and accountability of personnel.

The Financial Management course describes the two basic systems needed in a utility: a financial information system and a management information system.

Financial information includes procedures and record-keeping requirements, accounting processes, payroll, purchasing, billing, collections, and budgeting.

Management information includes:

- Procedures and reports that allow the manager to determine how well the utility is meeting the needs of the customers and goals set out in the annual operations plan.
- Procedures for establishing utility rates.
- Reports that ensure funds and assets are used in accordance with proper procedures.
- Information on risk management, insurance, management reports, authorizing documents, and financial audits.

Organizational Management

This course is designed to provide more detail on the following concepts:

- Level of Service
- Organizational Structure
- Roles and Responsibilities
- Utility Ordinance
- Customer Agreements
- Communications and Administration

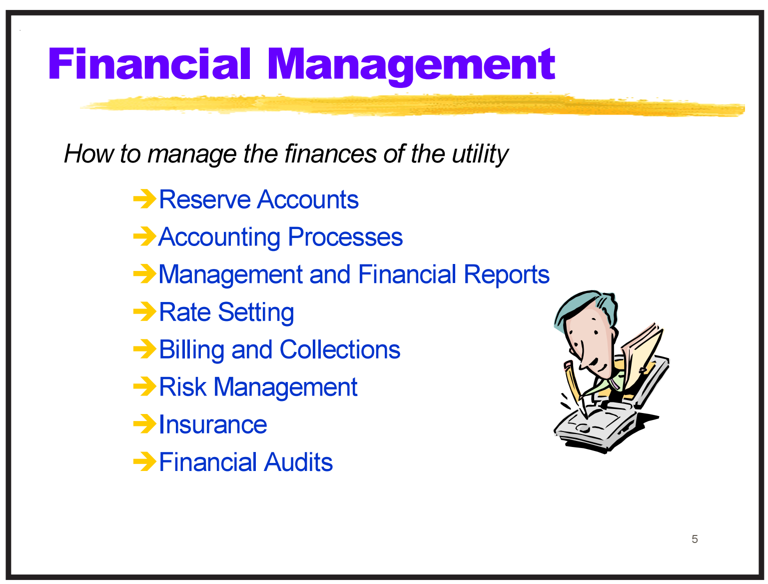
The course addresses the governance of a utility, including local laws and legal documents. In addition the course focuses on the organization of the entity that will manage and operate the utility including an overview of the responsibilities, authority, and accountability of personnel.

Financial Management

This course describes the two main elements in the financial management of a utility: a financial information system and a management information system.

Financial Information System. This section of the course includes information on:

- Procedures and Record Keeping Requirements
- Accounting Processes
- Payroll and Purchasing
- Billing and Collections
- Budgeting

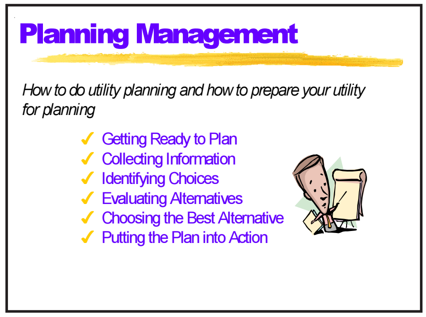


Management Information System. This section of the course includes information on procedures and reports that allow the manager to determine how well the utility is meeting the needs of the customers and goals set out in the annual operations plan. During this course you will gain information on establishing utility rates. You will also learn about reporting procedures to ensure funds and assets are used properly. In addition, you will receive information on risk management, insurance, management reports, authorizing documents, and financial audits.

Overview

Instructor Tips

- Slide A allows you to generally discuss the contents of the *Planning Management* course. You might want to have a copy of the student manual to display.
- Slide B allows you to generally discuss the contents of the *Operational Management* course. You might want to have a copy of the student manual to display



Slide A

Slide B

Ideas for Real Life Examples

- Provide an example of a successful plan in a community you are aware of.
  - What process was used?
  - What problem was solved?
- Provide an example of how skills learned in operational management will help students do their everyday jobs.

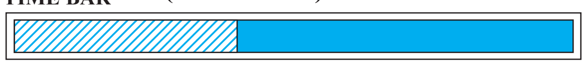
Potential Discussion Questions

- At the conclusion of these slides, go over any questions students have regarding the information presented up to this point.

References

Planning Management
Student Manual
Operational Management
Student Manual

TIME BAR (1 hour 45 minutes)



Speaker Notes

The week long Planning Management course covers six topics:

- ✓ Getting Ready to Plan - identify planning and how to involve the public
- ✓ Collecting Information - identify problems and set community goals
- ✓ Identifying Choices - how to develop water and wastewater alternatives
- ✓ Evaluating Choices - how to evaluate the range of alternatives identified
- ✓ Choosing the Best Alternatives - how to select the preferred alternative, draft, and finalize the master plan
- ✓ Putting the Plan Into Action - information provided on funding, permitting, force accounting, contracting, and operation and maintenance

The week long Operational Management course addresses the day-to-day nuts and bolts skills necessary to run a utility. Topics include:

- ✓ Maintenance and management systems
- ✓ Operations and preventative maintenance plan
- ✓ Data collection and reports
- ✓ Asset inventory
- ✓ Contingency response plan
- ✓ Time management
- ✓ Computer use

Utility Planning Management

This course covers six main topics:

- ✓ Getting Ready to Plan
- ✓ Collecting Information
- ✓ Identifying Choices
- ✓ Evaluating Alternatives
- ✓ Choosing the Best Alternative
- ✓ Putting the Plan into Action

Getting Ready to Plan. This section will explain what planning is, why we plan, keys to success, and building community capacity.

Collecting Information. This section will discuss how to identify problems and set community goals and objectives for addressing the problems.

Identifying Choices. This section shows the student how to develop water and wastewater alternatives.

Evaluating Alternatives. This section explains how to evaluate the range of alternatives identified.

Choosing the Best Alternative. This section covers how to select and refine the preferred alternative, develop project plans, plan for capital improvements, and draft and finalize master planning documents.

Putting the Plan into Action. This section presents information on funding, permitting, force accounting and contracting, and operations and maintenance.

Operational Management

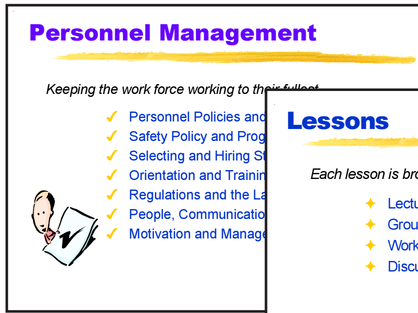
This course addresses the day-to-day, nuts and bolts skills necessary to run a utility. Topics include:

- ✓ Maintenance and Management Systems
- ✓ Operations and Preventative Maintenance Plan
- ✓ Data Collection and Reports
- ✓ Asset Inventory
- ✓ Contingency Response Plan
- ✓ Time Management

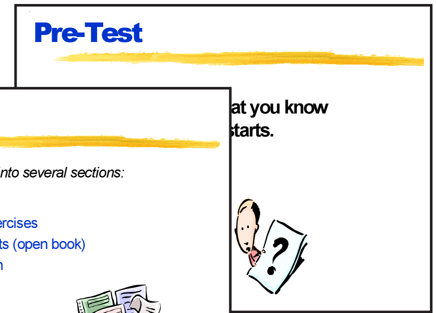
Overview

Instructor Tips

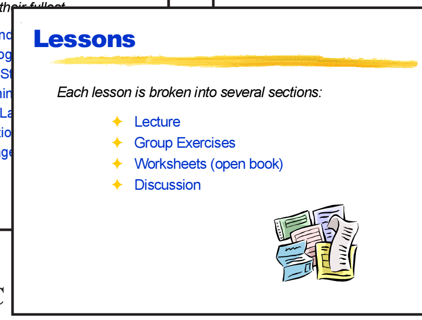
- Slide A: Quickly review the seven topics that will be presented in this week-long course.
- Take general questions about the course before proceeding to Slide B.
- Slide C allows you to discuss the manner in which lessons will be covered.



Slide A



Slide B



Slide C

Ideas for Real Life Examples

- Provide an example of how skills learned in personnel management will help the students deal with coworkers or job situations.

Potential Discussion Questions

- Ask if any students supervise others.
- Who has had supervisory training and what types of training?

TIME BAR (2 hours 5 minutes)

Speaker Notes

The Personnel Management course describes the tools a utility needs to keep the work force working to their fullest. Topics are focused on personnel management and include:

- ✓ Personnel Policies and Procedures
- ✓ Safety Policy and Programs
- ✓ Selecting and Hiring Staff
- ✓ Orientation and Training
- ✓ Regulations and the Law
- ✓ People, Communication, and Conflict
- ✓ Motivation and Management

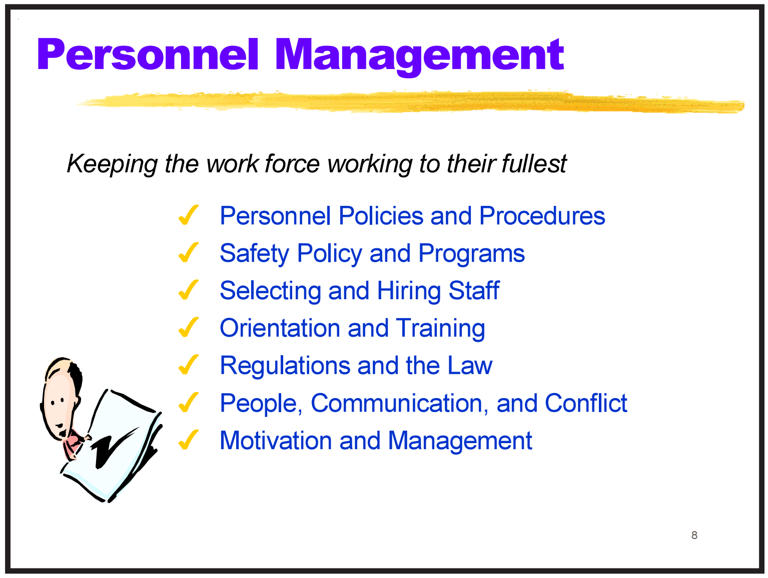
The Pre-Test provides a base line of your understanding of personnel management. It is designed to cover a range of personnel concepts that we will be talking about this week. Many of you will be unfamiliar with personnel management and may not do well on this test. That is okay because this will allow us to measure how well we teach you the information. The test is closed book and contains 50 questions. We will give you 45 minutes to complete the test. Once everyone has finished, we will take another 15 minutes to review the test and discuss it in general terms.

Each lesson will include lectures, group exercises, and worksheets. If worksheets are handed out at the beginning of each lesson, they may be completed during the lecture. The worksheets will be discussed at the end of each lesson before moving on to the next lesson.

Personnel Management

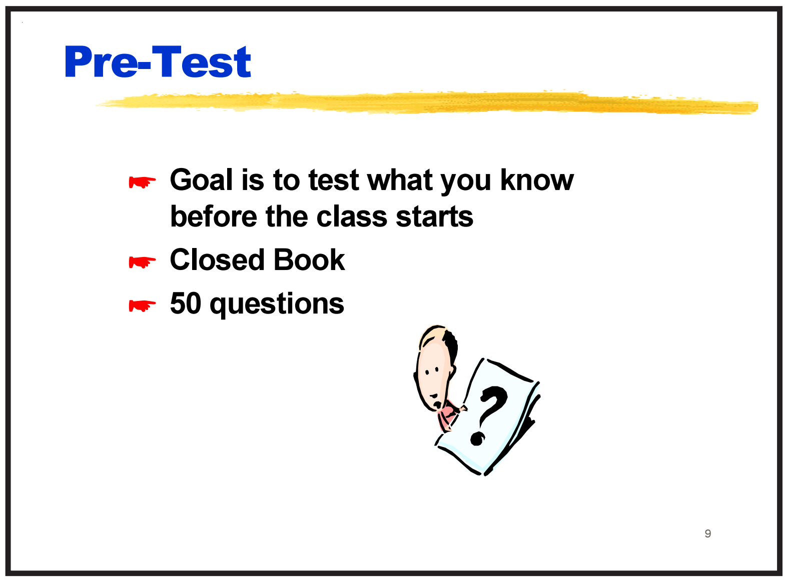
This course describes the tools a utility manager needs to keep the work force working to its fullest. Topics include:

- ✓ Personnel Policies and Procedures
- ✓ Safety Policy and Programs
- ✓ Selecting and Hiring Staff
- ✓ Orientation and Training
- ✓ Regulations and the Law
- ✓ People, Communication, and Conflict
- ✓ Motivation and Management



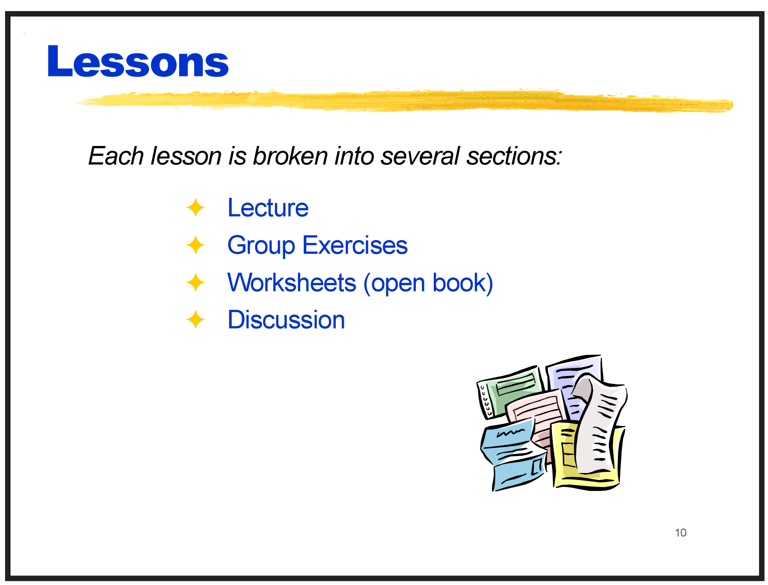
Pre-Test

The Pre-Test is a tool for assessing your understanding of personnel management issues. Some students will be unfamiliar with personnel management when they take the pre-test and may score poorly. However, the goal is to test what you know before presenting the course information. All of the questions on the pre-test will be answered during the course. By the end of the course, your score on the final test will be much better. The pre-test is closed book and contains 50 questions.



Lessons

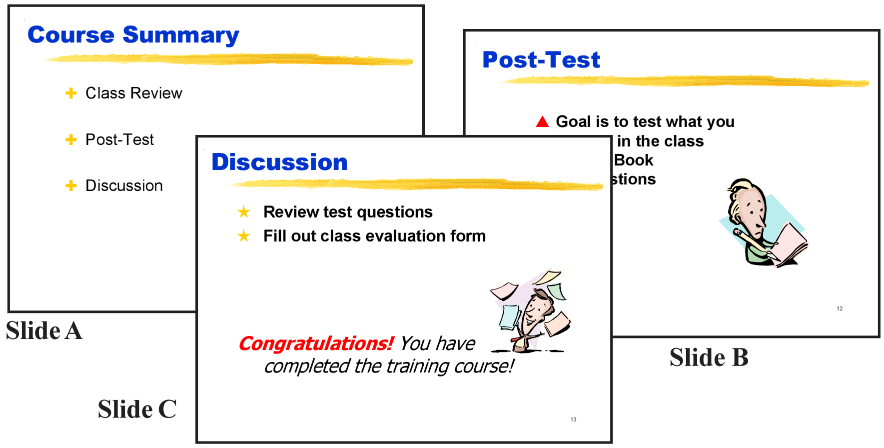
Each lesson is broken into several sections. First there will be a lecture on the material followed by some group exercises and individual worksheets on the lesson. Before moving on to the next lesson, we will discuss the worksheets.



Overview

Instructor Tips

- Slide A allows you to discuss the final day of the class and methods the students can use to review the materials.
- Slide B discusses the Post-Test.
- Slide C will let everyone know that they will get the test answers and be asked to evaluate the class.



Slide A

Slide B

Slide C

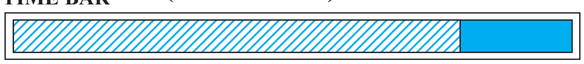
Ideas for Real Life Examples

Potential Discussion Questions

- Allow for any questions from students on materials to this point.

Speaker Notes

TIME BAR (3 hours 20 minutes)



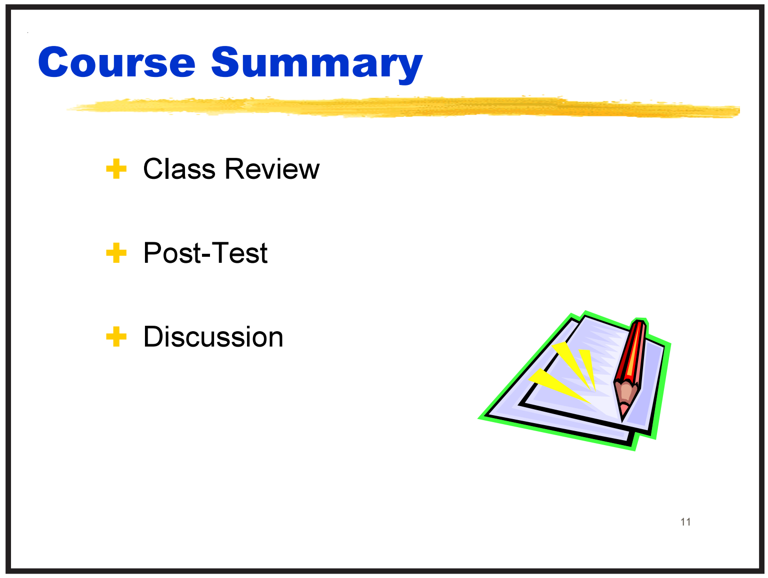
A brief review of all lessons and worksheets will be given on the final day of class. Following this review, the post-test is administered. After all tests are completed and scored, the answer key will be given out, and time will be allowed for discussion of the test answers. Students will then be requested to fill out an evaluation form on the course and materials used.

Now we are ready to have you take the Pre-Test. We will give you 45 minutes to complete the test, and then we will spend a few minutes talking about it in general terms.

Exercise 4: Pre-Test

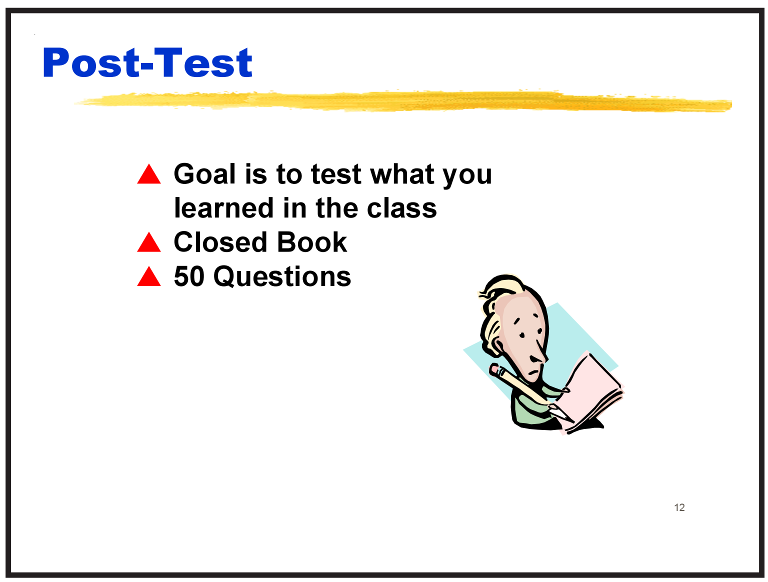
Course Summary

On the last day of the class we will have a review of the materials and a final test with a discussion of the answers and the course material.



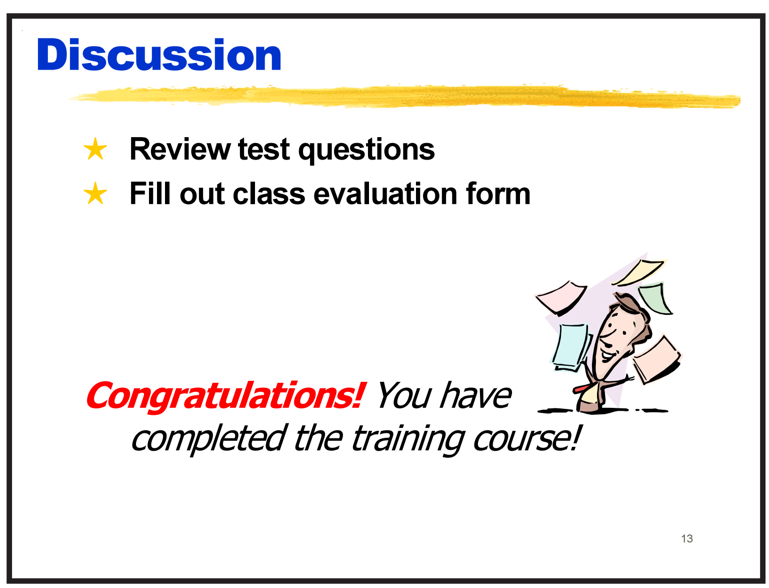
Post-Test

On the final day of the class you will take the Post-Test and get all the answers right! Well, most of them we hope! The goal is to test what you learned in the course and help us make it a better course for future students. When you are done, we will provide you with the answers to the test.



Discussion

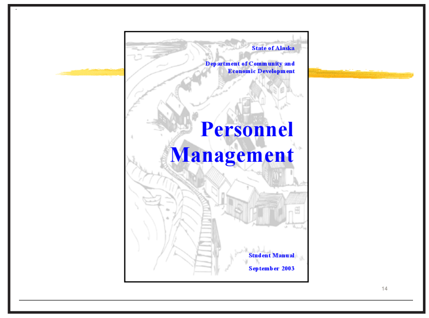
We will review the test questions and the answers with you. This will be the time when we ask for your overall evaluation of the course.



Introduction

Instructor Tips

- Use this slide to introduce key concepts and terms used in personnel management.
- You may want to use a flip chart to write the key terms on.



Ideas for Real Life Examples

Potential Discussion Questions

- Ask students to state headings for sections found in a personnel policy.

TIME BAR (3 hours 40 minutes)

Speaker Notes

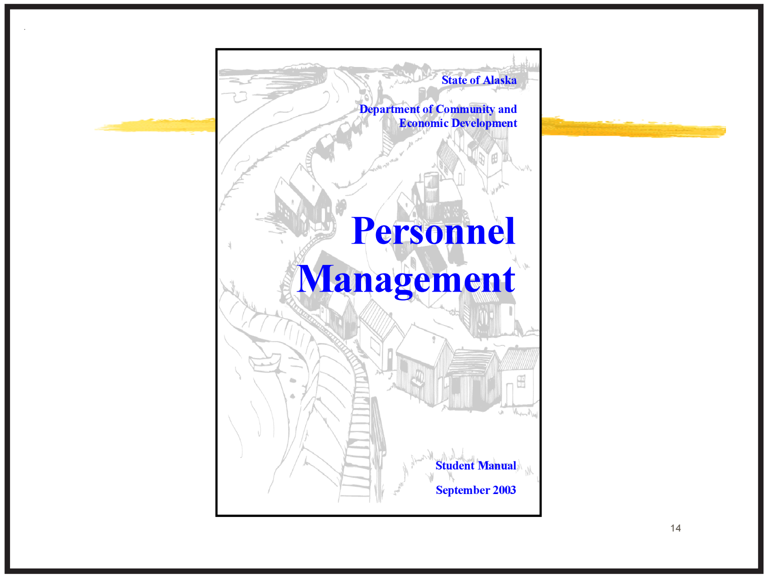
The student manual lists several key concepts of personnel management. Most are people skills that may be learned and are covered in the personnel management course. The key concepts of personnel management center on how to hire, train, and retain good employees.

Refer to the section headings volunteered by students and add any of these key concepts that they omitted.

Active Listening	Leadership
Chain of Command	Motivation
Compensation	Nepotism
Confidentiality	Organizational Chart
Conflict of Interest	Orientation
Delegation	Procedures
Discipline	Policies
EEO	Recruiting
Grievance	Sexual Harassment
Hazard Assessment	Termination
Hiring Agreement	Values
Illegal Deductions	Workers Compensation Insurance

Introduction to Personnel Management

Key concepts to learn



What are the elements of a good employee policy manual?
What makes a good safety program?
How to recognize talent.
How to hire good employees.
How to make the most of available resources.
How to categorize behavior without labeling.
How values impact behavior.
How to plan and run training programs.
Good leadership and management traits.
Secrets to building employee trust and productivity.
Active listening.
Negotiation and mediation skills.
How expectations affect performance.
What motivates employees?
Why, when, and how to delegate.
What is sexual harassment?
How do you solve the problem of sexual harassment?
How to prevent and resolve conflict.
What are good methods for dealing with difficult employees?
How to use feedback to effectively communicate.
Drug and Alcohol Abuse Policy.
What are employee/employer responsibilities?
How to terminate an employee without violating the law.
How to treat employees fairly.

Key terms to learn

Active Listening	Grievance	Orientation
Chain of Command	Hazard Assessment	Policy
Conflict of Interest	Hiring Agreement	Recruiting
Confidentiality	Illegal Deductions	Sexual Harassment
Compensation	Leadership	Termination
Delegation	Motivation	Values
Discipline	Nepotism	Workers Compensation Insurance
EEO	Organization Chart	Working Conditions

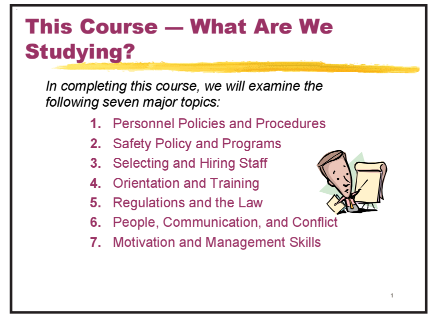
Introduction

Instructor Tips

- Use this slide to clearly inform the students about the seven major topics covered in the personnel management course.
- Students should understand that these topics will teach skills to help deal with the day-to-day tasks of personnel management.

References

Fair Labor Standards Act
Americans with Disabilities Act



Ideas for Real Life Examples

- Provide an example of a personnel infraction (constant tardiness, personal use of utility property).
- How is the utility affected and what could prevent the repeat offense?

Potential Discussion Questions

- Ask who has personnel policies and procedures or safety policies.
- Ask if anyone assisted in developing personnel policies or safety policies.
- What input did they have?
- Ask if anyone had a personnel problem that could have been solved if there were personnel policies in place.

TIME BAR (3 hours 50 minutes)

Speaker Notes

This course covers many of the tools that will help you deal with the general day-to-day tasks of personnel management. Some of the tools may seem dull or just plain common sense. The fact is that as obvious as these tools seem, once you've learned them, they are by no means reflective on "common" or average sense. By regularly reviewing and trying to use these tools, you can become both a manager and a leader. Not just an official or hired leader, but one who can lead because you continually earn the respect of your team and community.

Personnel Policies and Procedures - overview of what they are and why they are important.

Safety Policy and Programs - safety planning, safety policy, and safety training.

Policies and procedures and safety policies are the keys to protecting your utility from many kinds of problems, including legal problems like lawsuits and human problems like accidents and injuries.

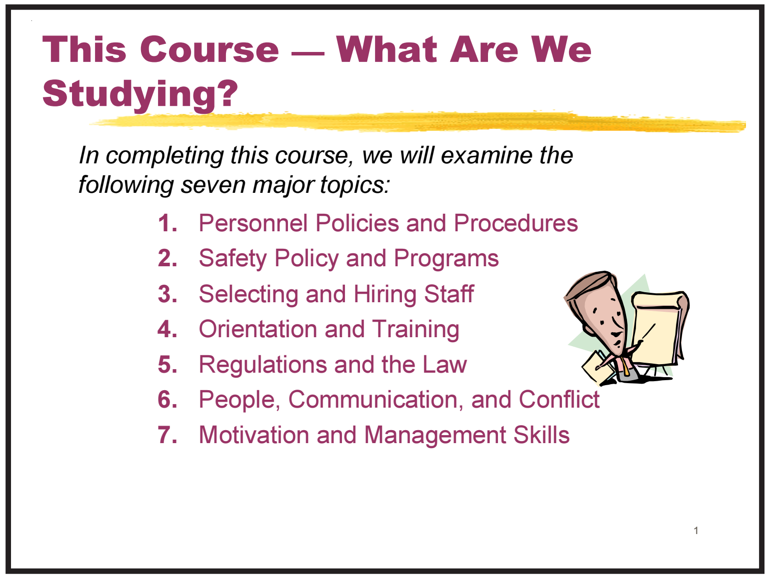
Selecting and Hiring Staff - analyzing and determining staffing needs, recruiting, and hiring.

Orientation and Training - explains how to orient and train the people you have hired.

Regulations and the Law - Fair Labor Standards Act, Americans with Disabilities Act, civil rights and taxes, discipline and documentation techniques, drug and alcohol policy, sexual harassment, workers' compensation, and employee termination.

Note: This slide also remains visible for the following page. The next slide will be on Lesson 1.

Introduction to this Course



In completing this course, we examine the following seven major topics:

- Personnel Policies and Procedures
- Safety Policy and Programs
- Selecting and Hiring Staff
- Orientation and Training
- Regulations and the Law
- People, Communication, and Conflict
- Motivation and Management Skills

This course covers many of the tools that will help you deal with the general day-to-day tasks of personnel management. Some of these tools may seem dull or just plain old common sense. But the fact is that as obvious as these tools seem once you've learned them, they are no means reflective of "common" or average sense. By regularly reviewing and trying to use these tools, you can become both a manager and a leader. Not just an official, hired leader, but one who can lead because you continually earn the respect of your team and community.

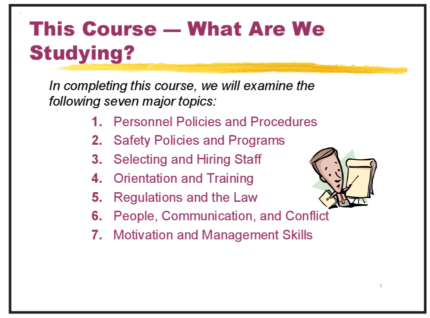
We start this course with an overview of personnel policies and procedures: what they are and why they are so important. Next, we will examine the important issues of safety, safety planning, safety policy, and safety training. Your policies and procedures, along with your safety program, will make up your guiding force when it comes to personnel management issues. They are the keys to protecting your utility from many kinds of problems, including legal problems like lawsuits and human problems like accidents and injuries.

After these important guiding principles have been reviewed, this course will follow a logical progression. You cannot be a manager without a staff to manage. We will help you in analyzing and determining your utility's staffing needs, guide you through the recruitment and interview process, and move along to the hiring, orientation, and many training aspects of your management task. Also at this time we will consider special issues (honesty, fairness, and time) that are extra important for managers in small communities like yours.

Next, we will look at several policy and procedure issues and some of the laws and regulations that control them. We will discuss several areas of law such as the Fair Labor Standards Act and the Americans With Disabilities Act as well as civil rights and taxes. We will also discuss discipline and documentation techniques and particularly serious problem areas, such as drug and alcohol policy, sexual and other unlawful harassment, workers' compensation insurance, progressive discipline, and finally termination of employees.

Instructor Tips

- A flip chart may be used to write the one word work personality style of each student.
- Save the chart until Lesson 6 and match them to the personality styles described in detail.
- At the conclusion of this page go over any questions that the students may have on information to this point.



Ideas for Real Life Examples

- Provide an example of two opposite personality styles (getting results versus being friendly).
- Do you need to use different approaches to motivate these styles?

Potential Discussion Questions

- Use one word to best describe your personality style.
- Describe the personality style you would like to work for.
- What personality style would you least like to work for?

TIME BAR **(4 hours session done)**

Speaker Notes

People, Communication, and Conflict - reviews personality types, communication, and causes of conflict.

Motivation and Management Skills - learn how to delegate, do performance reviews and evaluations, reward positive behavior, and correct negative behavior.

When you leave here, you will be better prepared to face the complicated, challenging, and rewarding job of personnel management. With your good management, your utility will thrive.

Review learning objectives for this section.

- ➔ Ask student to identify the six courses in the DCED Utility Training Program
- ➔ Ask students to identify and briefly describe the seven lessons in the <u>Personnel Management Course</u>.

Next, we get to the heart of personnel management: people. As we just discussed, leadership involves trust; it is a process and it is a privilege. Almost anyone can learn the basic rules of policy, safety, and law that will guide much of your work. But to be a good manager and leader, you will also have to know what makes your staff tick, in other words, what motivates them. To help you with this, we will review personality types or styles, communication, and the nature and causes of conflict.

When managers can't learn to lead, they must instead accept all kinds of unnecessary problems, like high staff turnover (quitting), people blocking each other's success, and even fighting. Anyone can tell people what to do. But to really help your staff over the biggest problems, you will learn proven techniques to help people overcome conflict, adopt a winning attitude and work together to find solutions. We will give you several tools that you can apply to help prevent and solve these difficulties.

Leading people into getting along and meeting common goals is your biggest test as a manager. Motivation is what drives your employees to show up to work day after day. To wrap up this section, we will discuss the delegation of work and the importance of performance reviews and evaluation tools to reinforce and reward positive behavior and correct negative patterns.

All of this material will be paced so that we can cover it over the next several days. It is a lot to cover, but we have done our best to allow plenty of time for class discussion. We have included a bunch of stories and examples from real Alaskan communities facing the same job you face—you might even recognize some of them. Plus, we have developed a variety of exercises to break up the lecture portion of the class and make things that much more interesting for you.

When you leave here, you will take with you a variety of sample forms and some examples of policies and procedures you can adapt to your utility. We have also put together a list of contacts you can pursue later.

But most importantly, when you leave here, you will hopefully feel better prepared to face the complicated, challenging, and sometimes meaningful and rewarding job of personnel management. You will be more prepared than when you arrived to not just to be a boss, but to be a leader. Your utility doesn't need to settle for just "surviving." With your good management, it can thrive.

Lesson 1

Instructor Tips

Lesson 1 will take 2.5 hours to complete.

- Request a volunteer to read the case study.
- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

Potential Discussion Questions

- What written policies would have prevented this situation?
- Ask participants for an example of a similar situation in their own community.

TIME BAR (20 minutes)

Speaker Notes

With no written policies, no clear chain of responsibilities, no clear written agreements, no clear understanding of the difference between employees and contractors, and no management, the community ended up in a situation that was entirely preventable had these things been in place.

- ☑ To prevent the case study situation, the council member could have been hired as an independent contractor responsible for paying his own employees.
- ☑ The second option would be to have allowed the council member to sign a hiring agreement as an employee of the community. As an employee, the council member would have had to adhere to adopted personnel policies and procedures, which include methods for employee discipline techniques.

Personnel Policies and Procedures:

- ✓ Establish responsibilities of employees and employers
- ✓ Provide a set of rules to operate under
- ✓ Prevent disasters, such as this case study
- ✓ Incorporate legal standards in the policy

Personnel policies and procedures are <u>so important that all utilities need to have them</u>!

If you understand and use good policies in your personnel management, you can <u>prevent</u> many disasters and <u>protect</u> your utility from unnecessary costly mistakes.

Lesson 1: Personnel Policies and Procedures

Case Study

Washeteria Business

One of the councilmembers volunteered to make himself the manager of the new washeteria. The council agreed to go ahead and hire the man as manager and to set up the business. The council made a verbal agreement to do it; nothing was in writing.

The only documentation of the deal was in the tape recorded minutes from the council meeting and the typed minutes had errors everywhere—some of the sentences you just couldn't understand because the tape was so bad—and there were lots of mistakes with names.

The "councilmember/manager" got some grants to buy washers and dryers and purchased others using City money. The manager would hire attendants and send them to the City for their pay. On payday the person would walk into the City office and say, "*I need to be paid,*" and the City Clerk would say "*For what*?"

The guy would say "*I'm the attendant at the washeteria, I was hired by the manager to work 5 days a week*." The City Clerk would reply, "*Well, we don't know anything about that,*" so that guy wouldn't get paid.

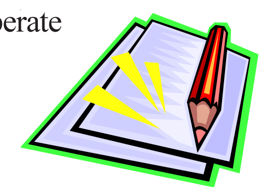
They went through a lot of attendants because of this. The "manager" never set things up properly with the City. Eventually, with no good management, the mayor, a strong willed person, decided that this washeteria manager should go away and fired him. But since there were no proper records kept over the years, the rates of pay for the employees or the hours they worked were unknown. Also, the City had no idea what the revenue had been from the operation of the washeteria or the expenses involved in running it because the "manager" had been doing it all.

This story demonstrates what poor management and planning in a city or community can lead to. It is meant to show how important policies and procedures are, *especially for small organizations*.

With no written policies, no clear chain of responsibilities, no clear, written agreements, no clear understanding of the difference between employees and contractors, and no management—the city ended up in a situation that was entirely preventable.

If this city had hired the councilmember as an independent contractor, instead of having him be a city employee, or if they had followed good management practices, they wouldn't have had these problems. As a contractor, the man would have been responsible for paying his employees instead of the city. Or as a city employee, with clear policies and good management, they would have been able to discipline him for not doing his job and document the process in a way that could have protected them from a possible lawsuit.

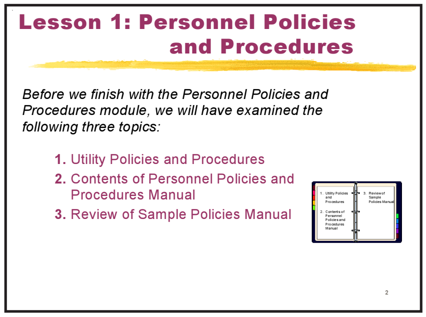
You do not need to let this happen to you! As boring or silly as it may seem, personnel policies and procedures are so important that **all** utilities need to have them. They are fundamental to personnel management at your utility, because they provide the framework you will operate within and the legal measure of much of what you will do. If you understand and use good policies in your personnel management, you can prevent many disasters, and you will protect your utility and your community from unnecessary and costly mistakes.



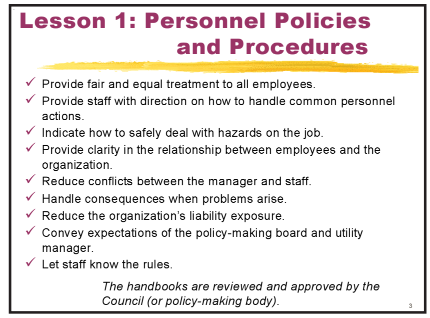
Lesson 1

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Don't spend too much time on Slide A as additional slides follow with more detail.
- Cover the topics on Slide B with a piece of paper and reveal them one at a time.



Slide A



Slide B

Ideas for Real Life Examples

- Display the sample policy manual and ask which students work for a utility that has a written policy manual.

Potential Discussion Questions

- Ask if policy manuals are for managers or staff?
- Discuss how written procedures provide fair and equal treatment for all employees, both manager and staff.

TIME BAR (40 minutes)

Speaker Notes

Identify and explain the following topics included in personnel policies and procedures lesson:

Utility Policies and Procedures - written documents that the utility follows in its day-to-day operations

Contents of Personnel Policicies and Procedures manual - suggested topics that should be included in all manuals

Review of sample policies manual - exercise to review manual for specific policies

Policies and procedures used in management of utility personnel are described in the personnel policies and procedures manual and the employee safety handbook. The employee safety handbook will be discussed in Lesson 2.

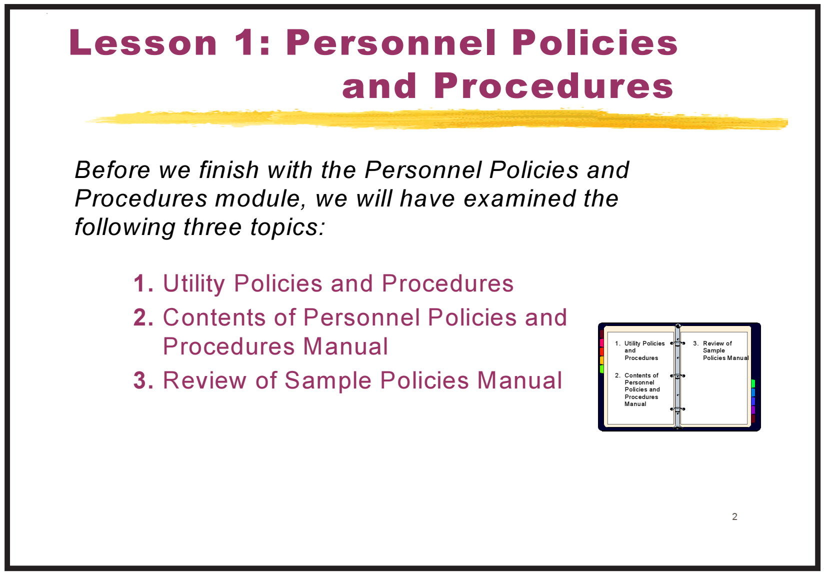
The purpose of the utility policies and procedures manual are:

- ✓ Provide fair and equal treatment to all employees
- ✓ Provide staff with direction on how to handle common personnel actions
- ✓ Indicate how to safely deal with hazards on the job
- ✓ Provide clarity in the relationship between employees and the organization
- ✓ Reduce conflicts between the manager and staff
- ✓ Handle consequences when problems arise
- ✓ Reduce the organization's liability exposure
- ✓ Convey expectations of the policy-making board and utility manager
- ✓ Let staff know the rules

The personnel policies and procedures manual is the most important document that a manager can have in reducing conflicts with employees on organizational procedures.

Before we finish with the Personnel Policies and Procedures lesson, we will have examined the following three topics:

1. Utility Policies and Procedures
2. Contents of Personnel Policies and Procedures Manual
3. Review of Sample Policies Manual



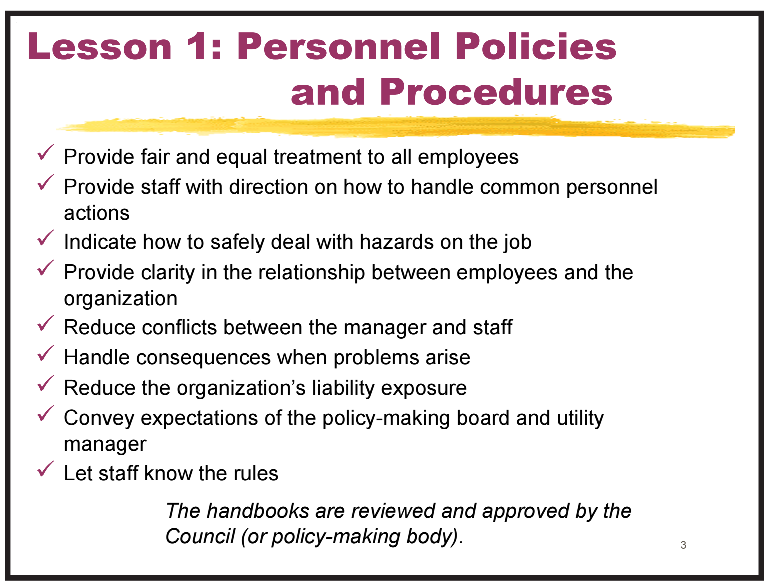
Utility Policies and Procedures

The policies and procedures used by the utility in the management of personnel are described in at least two written documents: the personnel policies and procedures manual and the employee safety handbook. The employee safety handbook will be discussed in Lesson 2.

These manuals:

- ✓ Provide fair and equal treatment to all employees
- ✓ Provide staff with direction on how to handle common personnel actions
- ✓ Indicate how to safely deal with hazards on the job
- ✓ Provide clarity in the relationship between employees and the organization
- ✓ Reduce conflicts between the manager and staff
- ✓ Handle consequences when problems arise
- ✓ Reduce the organization's liability exposure
- ✓ Convey expectations of the policy-making board and utility manager
- ✓ Let staff know the rules

As you can see, the personnel policies and procedures manual is the most important document that a manager can have in reducing conflicts with employees on organizational procedures.



Lesson 1

Instructor Tips

- Students need to understand the legal considerations required in personnel management.
- Remember that text in red represents a worksheet or test question.
- You may want to have examples of EEO, Minimum Wage, OSHA, Workers' Comp, Drug-Free Workplace compliance, and/or confidentiality of personnel files.

Ideas for Real Life Examples

- Interject a story about a wife wanting to look in her husband's personnel file to get his social security number to apply for a PFD. Can you provide access to his file?

Potential Discussion Questions

- What type of questions are answered with good personnel manuals?
- What do you do if the manual does not have the answer to an employee's questions?

TIME BAR (1 hour)

Speaker Notes

In cooperation with the staff, the utility manager develops the personnel policies and procedures manual. The policy-making body of the utility has the final approval of the policies and procedures manual.

The federal or state statutes or regulations that address the management of employees are:

- ✓ **Equal Employment Opportunity (EEO) compliance**
- ✓ **Minimum wage compliance**
- ✓ **Office of Safety and Health Administration (OSHA)**
- ✓ **Workers' Compensation Insurance coverage (required for every employee - even for tribes!)**
- ✓ **Drug-free workplace compliance**
- ✓ **Confidentiality of personnel files**
- ✓ **Americans With Disabilities Act (ADA)**

Present how to use personnel policies.

- ➢ Management and employees use these manuals when personnel questions, safety questions, or conflicts arise. They help you consistently and legally follow the correct steps in dealing with personnel problems and safety practices. Their value to your employees is that they know what is expected of them and what rights and protections they should be receiving on the job.
- ➢ The contents of the personnel manual should be reviewed and updated annually or as situations arise. An adopted current personnel policy should allow you to answer difficult employee questions based on established policies and on what makes the most sense in terms of fairness, safety, the law, and the reality of the utility.
- ➢ If you don't have a policy on the question being asked, don't decide off the top of your head. Research the question, seek guidance, and make a new policy that will make the best sense for your organization.

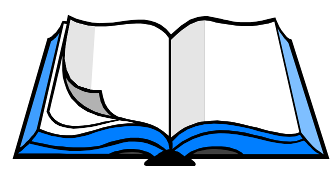
Authority

In cooperation with the staff, the utility manager develops the personnel policies and procedures manual, as well as the employee safety handbook. This manual and handbook are then reviewed and approved by the policy-making body.

Legal Considerations

One major legal consideration addressed by these manuals is the documentation that the utility will follow specific federal and state statutes and regulations that address the management of employees. These regulations include:

- ❒ Equal Employment Opportunity (EEO) compliance
- ❒ Minimum wage compliance
- ❒ Office of Safety and Health Administration (OSHA) compliance
- ❒ Workers' Compensation Insurance coverage (required for every employer – even for tribes!)
- ❒ Drug-free workplace compliance
- ❒ Confidentiality of personnel files
- ❒ Americans With Disabilities Act (ADA)



How to Use Them

Management and employees use these manuals when personnel questions, safety questions, or conflicts arise. They help you consistently and legally follow the correct steps in dealing with personnel problems and safety practices. Their value to your employees is that they know what is expected of them and what rights and protections they should be receiving on the job.

When will you use policies? They can help you answer questions like "Hey, Boss! Can I get paid if I attend a college course in Bethel that lasts a week?" Or "Can I have an advance on my pay for the next month so I can pay my brother's hospital bill?"

The contents of these manuals should be reviewed and updated each year or as conditions or situations require. If you run into one of those difficult questions like the ones above, refer to your policy manual. Instead of being tempted to answer one way or another based on your whim or your feelings about the person, you base it on established policies and on what makes the most sense in terms of fairness, safety, the law, and the reality of your utility.

If you don't already have a policy on the question at hand, don't panic, and don't decide off the top of your head. Instead, realize you now have a good opportunity to develop another policy and put it in the manual. You do this not to be some silly paper pusher. You do it to be fair and to protect your utility in the eyes of changing laws and regulations that impact management and worker safety. When you don't feel sure about the answers, it is okay to tell the employee you need some time. Then you can check with the city, the lawyer, or the state for some guidance to make sure your new policy will make the best sense for your organization.

Lesson 1

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Cover the topics on the slide with a piece of paper and reveal them one at a time as you discuss them.

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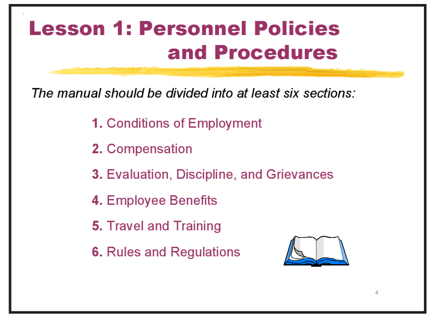


Ideas for Real Life Examples

- Have available some personnel policies from participating students' utilities.
- Examine the personnel policies and identify which of the six suggested contents topics correspond with headings from participating students' utilities.

Potential Discussion Questions

- Ask who has a local hire preference policy and how it was enacted.
- Discuss organizational charts and lines of authority.

TIME BAR (1 hour 20 minutes)

Speaker Notes

Students should understand that a policies and procedures manual may be organized in any manner as long as it contains the information the utility requires to manage personnel.

Suggested contents for a Personnel Policies and Procedures Manual are:

- **Conditions of Employment**
- **Compensation**
- **Evaluations, Discipline, and Grievances**
- **Employee Benefits**
- **Travel and Training**
- **Rules and Regulations**

The Conditions of Employment section should address:

- ✓ The process used to apply for employment
- ✓ **The utility's policy on the preference for local hire**
- ✓ Who has authority to hire and fire employees
- ✓ Supervision of employees and a copy of the organizational chart
- ✓ How employee groups are classified and description of classification
- ✓ Probationary period before becoming a permanent employee
- ✓ Job descriptions
- ✓ Layoff policy and conditions

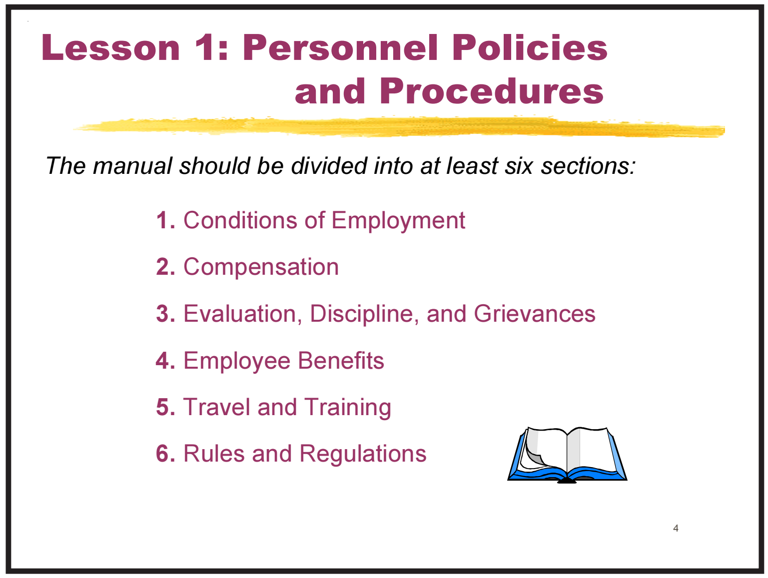
The Compensation section provides information on the criteria used to determine pay, benefits, and advancements. Compensation topics include:

- Wage categories and amounts
- Criteria for promotion and its relationship to pay increases
- How overtime is authorized
- Which payroll deductions are made by the utility and what optional deductions are available
- Identification of pay periods and the time between closing pay period and when the check is issued
- If salary advances are available and criteria controlling the advance

Contents of Personnel Policies and Procedures Manual

As long as your policies and procedures manual contains the information you need, the way you organize your own policies and procedures manual is up to you. The following is a brief description of the suggested contents of an employee policies and procedures manual. The manual should be divided into at least six sections:

1. Conditions of Employment
2. Compensation
3. Evaluation, Discipline, and Grievances
4. Employee Benefits
5. Travel and Training
6. Rules and Regulations



Conditions of Employment

This section of the manual should address the following items:

- ✓ The process used to apply for employment
- ✓ The utility's policy on the preference to hire local workers
- ✓ Who has the authority to hire and fire employees
- ✓ Supervision of employees and often a copy of the organizational chart
- ✓ How employee groups are classified and special requirements for each classification
- ✓ Probationary period before becoming a permanent employee
- ✓ Job descriptions
- ✓ Layoff policy and conditions

Compensation

The compensation section provides information on the criteria used to determine pay, benefits, and advancements. In addition, this section contains all other compensation topics including:

- ✓ Wage categories and amounts
- ✓ Criteria for evaluation and its relationship to pay increases
- ✓ How overtime is authorized and paid
- ✓ Which payroll deductions are made by the utility and what optional deductions, such as retirement, are available
- ✓ Identification of pay periods and the length of time between the closing of a pay period and the issuance of a pay check
- ✓ If advances on salary are available, this section provides the details on the criteria controlling these advances

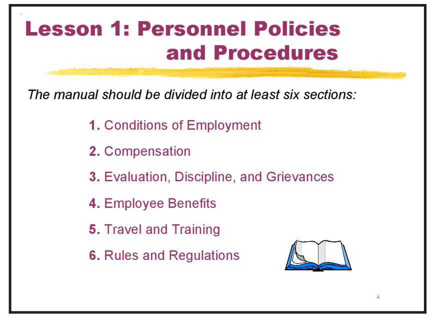
Lesson 1

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Have a sample salary schedule available (found in model policies and procedures manual).
- Have employee evaluation forms available (found in model policies and procedures manual).
- Have available copies of a sample leave/training request form (found in the model policies and procedures manual).

References

New Town Policies and Procedures Manual



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Ideas for Real Life Examples

- Provide examples of pre-approved overtime and emergency overtime situations.
- Discuss how overtime is authorized and paid.

Potential Discussion Questions

- Ask if anyone has received a performance evaluation that they didn't agree with. How did they deal with the evaluation?

TIME BAR (1 hour 40 minutes)

Speaker Notes

The Evaluation, Discipline, and Grievance section contains basic information concerning employee evaluations, how discipline is handled, and how the employee can file and proceed with a grievance. This section should contain at least the following topics:

- ❒ **How often evaluations are completed, by whom, their purpose, and the criteria to do them**
- ❒ The absentee and tardiness policy and result of violation of the policy
- ❒ A description of progressive discipline policy, its steps and how it is applied
- ❒ A clear description of the grounds for dismissal
- ❒ Steps for an employee to file a formal grievance and how it is resolved

Employee Benefits include time off, insurance, retirement, and other programs. Additional items may include:

- ◆ **List of holidays and whether they are paid or not**
- ◆ Description of leave types (including subsistence) with or without pay and length of time allowed
- ◆ Explanation of how leave is accumulated and used

Utilities should provide travel and training money for staff to attend training and conference functions. The Travel and Training section should include information regarding:

- ✓ How to place a request for travel or training
- ✓ How hotel, food, and transportation is arranged and paid
- ✓ Requirement for reporting expenses or activities reports
- ✓ How meal allowances are paid
- ✓ The results of receiving travel funds and not using them for the stated purpose
- ✓ Repayment for training costs if the employee terminates within a certain time period

Evaluation, Discipline, and Grievance

This section contains basic information concerning employee evaluations, how discipline is handled, and how the employee can file and proceed with a grievance. The section should contain at least the following topics:

- How often employee performance evaluations are performed, by whom, their purpose, and the criteria on which they were developed
- The level of absenteeism and tardiness allowed by the utility and the result of violation of this policy
- A description of the progressive discipline policy, its steps, and how it is applied
- A clear description of the grounds for dismissal of an employee
- How an employee can file a formal grievance against a supervisor, manager, or policy-making body.
- The steps a grievance must go through and how grievances are to be resolved.

Employee Benefits

Employee benefits include time off, insurance, retirement, and other programs. Other items that might be in included in this section are:

- ➔ A list of all legal holidays recognized by the utility and if they are paid or not paid
- ➔ A description of the types of leave that can be taken by an employee with or without pay (including subsistence leave for seasonal hunting or fishing), how often, and for what length of time, as well as any bereavement leave that the utility permits
- ➔ A description of how personal or other leave is accumulated, how it can be used, how much can be accumulated, how much can be carried over into the new year, and the required notice for using the leave
- ➔ Time off for jury duty
- ➔ Time off to vote
- ➔ Family and emergency leave

Travel and Training

Utilities should also provide travel and training money for staff to attend training and conference functions. This section of the manual should provide information on the following components:

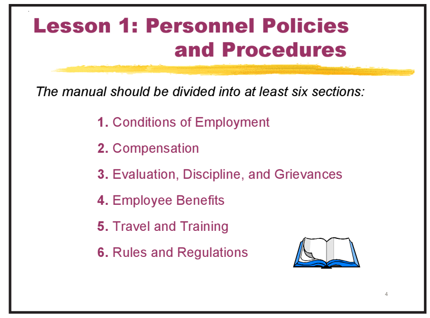
- ✓ How to place a request for travel and/or training
- ✓ How hotel, ground transportation, and airfare are paid (for example, actual cost or maximum amount)
- ✓ Requirement for reporting cost and information (for example, trip report, original receipts, etc) to the proper individuals upon return from travel/training
- ✓ How meal allowances are paid
- ✓ The results of obtaining travel funds and not using the funds for the stated purpose
- ✓ Repayment by the employee of the travel/training cost if the employee leaves the utility within a certain time after the travel/training

Lesson 1

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Distribute copies of *Your Rights Under the Family and Medical Leave Act of 1993* and *Alaska Family Leave Act, State of Alaska Policy.*
- Students should understand that the governing body establishes which holidays are recognized.
- Have available copies of *State of Alaska Policy on Sexual Harassment and Other Discriminatory Harassment.*
- Have available copies of *State of Alaska Drug Free Workplace Act of 1988.*

References
- Your Rights Under the Family and Medical Leave Act of 1993
- Alaska Family Leave Act



Ideas for Real Life Examples

- Give an example of a family and emergency leave.
- Give an example of an employee obtaining travel funds then not using them for the stated purpose.
- Give an example of a blanket amount per diem and reimbursable per diem trip.

Potential Discussion Questions

- Ask students to list their utility's employee benefits.
- Discuss training opportunities and funding.
- Ask students to list examples of unacceptable behavior.

TIME BAR (2 hours)

Speaker Notes

Utilities may consider having the employee sign an agreement to reimburse training expenses if the employee terminates employment within a certain time. The employee would retain the right to quit, and the utility retains the right to discharge them. The signed agreement only prevents the employee from obtaining training simply to immediately switch jobs or employers.

Rules and regulations identify rules of conduct an employee should follow to protect the interest and safety of all employees and the community. **The following are examples of unacceptable behavior that may result in disciplinary action:**

- ☑ **Theft or inappropriate removal or possession of utility property**
- ☑ **Falsification of time keeping records**
- ☑ **Working under the influence of alcohol or illegal drugs**
- ☑ **Possession, distribution, sale, transfer, or use of alcohol or drugs**
- ☑ **Fighting, threatening violence, rowdy, or disruptive behavior in the workplace**
- ☑ **Negligence or improper conduct leading to damage of employer-owned, customer-owned, or coworker-owned property**
- ☑ **Insubordination or other disrespectful conduct**
- ☑ **Violation of health or safety rules**
- ☑ **Smoking in prohibited areas**
- ☑ **Sexual or other unlawful or unwelcome harassment**
- ☑ **Possession of dangerous or unauthorized materials such as explosives or firearms**
- ☑ **Excessive absenteeism or any absence without notice**
- ☑ **Unauthorized use of telephones, mail system, or other employer-owned equipment**
- ☑ **Unauthorized absence from work station during the workday**
- ☑ **Unauthorized disclosure of confidential information**

It doesn't help to invest time and money in training a worker merely to have them move on to a higher paid job. It may be wise to have employees sign an agreement that in exchange for the utility and community's investment in their training, they commit to stick around for at least a year. Of course, they should retain the right to quit just as you would retain the right to discharge them under certain circumstances. The commitment should bar them from simply using you for training then heading straight to the highest bidder.

Rules and Regulations

In addition to all of the other components of the employee manual, a section must be set aside for a description of the rules and regulations not addressed in other sections of the manual. These include:

- A sexual harassment policy
- A policy on physical confrontation or assault
- A policy on the use of utility property for personal purposes, such as the phone, utility vehicles and tools, and conversely, the use of employee-owned vehicles and equipment by the utility
- The employee's responsibility to follow the safety and accident prevention program and how to report accidents and incidents
- A drug and alcohol use and abuse policy
- The severance process

As a manager, you expect your employees to follow rules of conduct that protect the interest and safety of all employees and the community.

While it is not possible to list all unacceptable behavior, the following are infractions that should result in disciplinary action, up to and including termination of employment:

- ⌧ Theft or inappropriate removal or possession of utility property
- ⌧ Falsification of timekeeping records
- ⌧ Working under the influence of alcohol or illegal drugs
- ⌧ Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace, while on duty, or while operating employer-owned vehicles or equipment
- ⌧ Fighting, threatening violence, rowdy, or disruptive activity in the workplace
- ⌧ Negligence or improper conduct leading to damage of employer-owned, customer-owned, or coworkers' property
- ⌧ Insubordination or other disrespectful conduct
- ⌧ Violation of safety or health rules
- ⌧ Smoking in prohibited areas
- ⌧ Sexual or other unlawful or unwelcome harassment
- ⌧ Possession of dangerous or unauthorized materials such as explosives or firearms in the workplace
- ⌧ Excessive absenteeism or any absence without notice
- ⌧ Unauthorized use of telephones, mail system, or other employer-owned equipment
- ⌧ Unauthorized absence from work station during the workday
- ⌧ Unauthorized disclosure of confidential information

Lesson 1

Instructor Tips

- Do the exercise before completing the worksheets.

Ideas for Real Life Examples

- Give an example of abuse of utility property for personal use (long distance calls, using vehicle for hunting, etc.)
- Give an example of an employee using alcohol or drugs while on duty or operating a utility owned vehicle or equipment.

Potential Discussion Questions

- Ask students for examples of rules and regulations identified by their utility or examples of rules they would like to see adopted.
- List examples on a flip chart.

TIME BAR (2 hours 30 minutes)

Speaker Notes

If you did not hand out worksheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

Exercise: Personnel Policy and Procedure review

Review of Sample Manual

Using the personnel policies and procedures manual from your utility, we will now compare your manual to the suggested contents of a personnel policies and procedures manual that we just discussed. The instructor will give you an evaluation form for you to use to assist in your comparison. If you forgot your manual, or if your utility doesn't have one, please see your instructor for a sample manual.

Action Plan:

1. ______________________________

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2. ______________________________

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3. ______________________________

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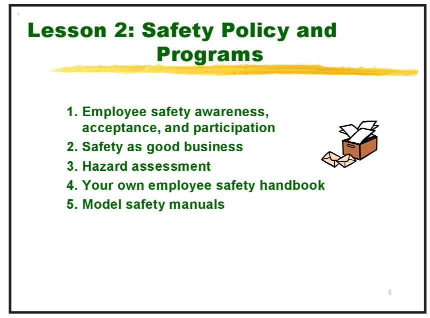
Lesson 2

Instructor Tips

Lesson 2 will take 1.5 hours to complete.

- Remember that text in red represents a worksheet or test question.
- Items on the slide will be discussed in detail later.



Ideas for Real Life Examples

- Give an example of an employee injury related to the lack of proper safety equipment or lack of personal protective equipment being used (i.e. not using gloves, goggles, or hearing protection).

Potential Discussion Questions

- Who has had an accident at their utility in the past year? Discuss the accident and what steps were taken to correct the potential for a repeat.

Speaker Notes

TIME BAR (10 minutes)

Each utility is obligated by federal and state law to provide a safe work environment.

An overall safety training and accident prevention program includes:

- ✓ **A written safety policy statement approved by the policy-making body**
- ✓ **An employee safety handbook that includes written documents addressing the major safety issues for the utility**
- ✓ **Safety equipment and personal protective equipment for the employees**
- ✓ **A record-keeping system for the various aspects of the safety program**

This safety policy and program lesson will explore:

- ➢ Employee safety awareness (the employee has some responsibility for workplace safety)
- ➢ Safety as good business (injury-free employees save money)
- ➢ Hazard assessment (determine the hazards so policies can be developed and implemented)
- ➢ Your own employee safety handbook (contains policies designed for specific utility's needs)
- ➢ Model safety manual (see appendix)

Lesson 2: Safety Policy and Programs

Introduction

Each utility is obligated by federal and state law to provide a safe work environment. In order to meet the legal requirements and provide a quality health and safety program, the utility must develop and implement several specific safety program elements.

An overall safety training and accident prevention program includes:

- ✓ A *written safety policy statement* approved by the policy-making body
- ✓ An *employee safety handbook* that includes written documents addressing the major safety issues for the utility
- ✓ *Safety equipment* and *personal protective equipment* for the employees
- ✓ A *record-keeping system* for the various aspects of the safety program

Overview of This Lesson

In this lesson, we will discuss some of the elements of a good safety training and accident prevention program. First, we will discuss the importance of your employees in workplace safety. We will also give you tips to help them appreciate and work on safety.

Next we will review some of the components of a safety program and mention some resources you can use in developing your own. As you will see, safety is good business and affects people outside of your utility as much as those on the inside.

Your own safety program will start with an *on-site hazard assessment*. We will discuss that briefly and let you know where you can find further guidance. You will use this assessment in determining what needs the most attention first. More importantly, you will follow-up your assessment in a timely manner, addressing any important problems it uncovers.

Finally, we will survey some of the important elements you must include in your safety manual.

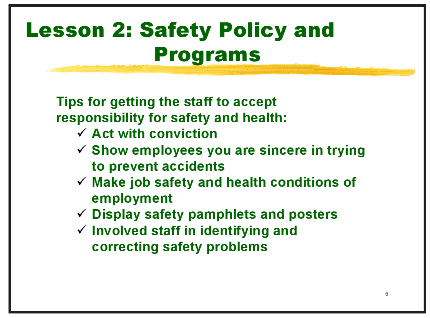
Once we've completed this Safety Policy and Programs lesson, we will have explored:

1. Employee safety awareness, acceptance, and participation
2. Safety as good business
3. Hazard assessment
4. Your own employee safety handbook
5. Model safety manual

Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Have contact information available for the local regional health corporation.



Ideas for Real Life Examples

- Give an example of a community that is committed to a safety program (holds regular safety meetings, schedules equipment inspections).
- Give an example of the operator out of town during an emergency and no backup operator is available.

Potential Discussion Questions

- Does your utility have safety meetings?
- Who is an OIT and how was training funded.
- Why do you want to cross train your employees?
- Who has practiced using the safety equipment in their utility? What and how did you use it?

Speaker Notes

TIME BAR (20 minutes)

Your employees are your utility's most valuable asset.

Tips for getting the staff to accept responsibility for safety and health are:

- ✔ **Act with conviction**
- ✔ **Employees believe you are sincere in trying to prevent accidents**
- ✔ **Job safety and health are conditions of employment**
- ✔ **Safety pamphlets and posters are displayed**
- ✔ **Staff is involved in identifying and correcting safety problems**

More than one person should be trained in safety procedures. People get sick or have emergencies, and many systems require someone in attendance at all times.

Staff training and certification is usually at no cost to the utility. Project funds may include training operators and/or upgrading skills. Regional health corporations typically provide certification classes.

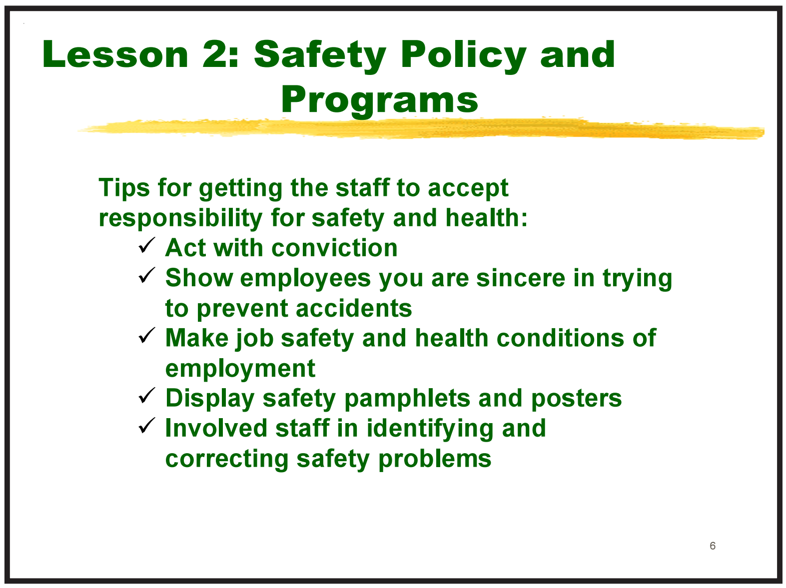
Employee safety awareness, acceptance, and participation

Your employees are your utility's most valuable assets. Their safety, health, and good will are essential to the success of the utility. While money and work can always replace a damaged building or a vehicle, they can't fix a person. Nothing can take away pain and suffering or bring back the dead.

It is the utility's responsibility to develop safety and health awareness in every employee.

Here are some tips for getting your staff to accept their responsibility for safety and health:

- First and foremost, you must be committed to having a safe and healthy work place. If you act without conviction, the employees will sense it.
- Each individual employee needs to know you are sincerely interested in preventing accidents. People realize that "accidents" may happen, but with the right attitude, it is possible to prevent almost all of them.
- The idea must be impressed upon employees that job safety and health are conditions of their employment.
- Safety pamphlets and posters can be displayed on a safety bulletin board and near any hazardous equipment or supplies. Safety-related and health-related posters and informational devices keep awareness of these concerns constant. (A good trick is to post them in bathrooms or anywhere else where your staff spends regular time.)
- Involve your staff in the act of looking for and correcting safety problems. Include them in safety plan meetings and ask for suggestions and assistance.



Backups: Training More Than One

Ideally, you will always want more than one person trained in anything having to do with safety so you then have a backup. Aside from layoffs, people get sick and have other emergencies that keep them from working.

Many rural utilities are fill-and-draw plants. These have a three to five day tank and only need 8 or 10 hours for treating the water and pumping it into the tank—one operator can manage that. What happens if the community grows? As a community grows and moves to piped water and waste water systems, they will need someone in attendance all the time.

Almost Free Staff Training and Certification

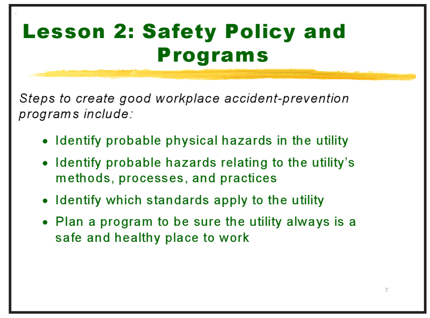
If you have a project for construction or upgrade of your water system, ask for funds to be included for training operators and/or upgrading skills in your grant request.

The regional health corporation, at no cost to the rural utility, typically provides certification classes and training. They have training monies for that and pay for operators to come in and be certified. The one expense to your utility is for the operator's salary while attending training.

Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Use a flip chart to list hazards in the workplace and community (two columns).



Ideas for Real Life Examples

- Give an example of an accident (chemicals in eyes) that was minimized because first aid was available.
- Give an example of a hazard being predicted and eliminated (fence built around lagoon, barriers placed around trenches).

Potential Discussion Questions

- How often is safety equipment checked at your utility (first aid kits)?
- Why is it the utility's responsibility to protect the community? (provide clean water, prevent attractive nuisances)
- What hazards could a reasonable person predict?

TIME BAR (35 minutes)

Speaker Notes

Elements always found in a good accident program include:

- ✔ **The manager assumes the leadership role**
- ✔ **An accident record system is maintained**
- ✔ **Responsibilities are clearly assigned**
- ✔ **Possible accident causes are clearly identified**
- ✔ **Safety training is instituted**
- ✔ **Medical and first aid systems are maintained**
- ✔ **Employees are continually advised of their safety responsibilities**

An effective safety program starts with an assessment of hazards.

Action to take in accident prevention programs:

- ✔ **Identify physical hazards**
- ✔ **Identify utility methods that are potential hazards**
- ✔ **Identify standards that apply to individual business**
- ✔ **Plan a program to ensure a safe and healthy place to work**

Safety is not just about protecting workers; safety includes protecting your community.

Utilities are liable for not eliminating hazards that a prudent person could predict.

Exercise - Identify Workplace Hazards

Safety Is Good Business

Certain basic elements are always found in good accident prevention programs. These are:

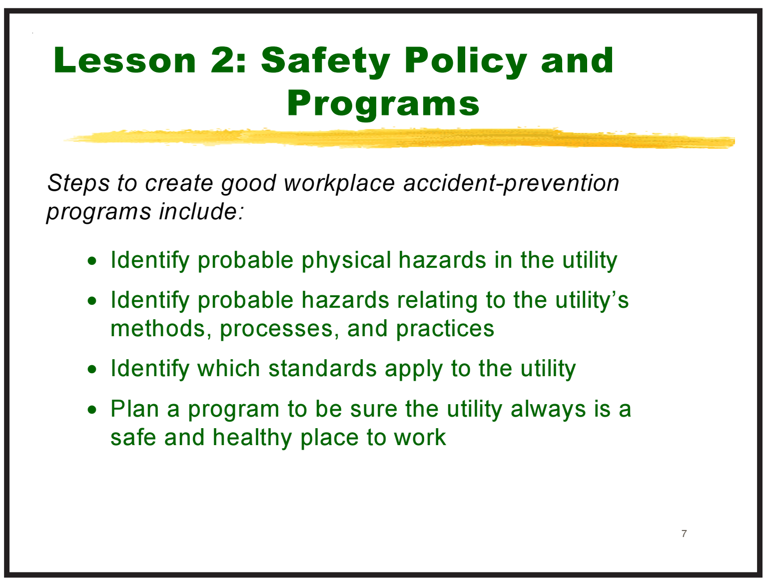
- ✔ The manager assumes the leadership role
- ✔ Responsibility for safety and health activities is clearly assigned
- ✔ Possible accident causes are properly identified and either eliminated or controlled
- ✔ Appropriate safety and health-related training is instituted
- ✔ An accident record system is maintained
- ✔ A medical and first-aid system is ready for possible use
- ✔ Ongoing activity provides every employee on-the-job awareness and acceptance of safety and health responsibility

Regardless of the size of your utility, each of these elements should be included to the degree necessary to prevent workplace accidents and possible injuries and illnesses.

Hazard Assessment

An effective safety program starts with an assessment of the hazards found at the work site and/or those associated with the performance of specific tasks. Once the hazard assessment has been completed, specific safety programs and work procedures can be developed to allow work to be completed as well as protect the health and safety of the employees and your community. Steps to create good workplace accident-prevention program include:

- ➥ Identify probable physical hazards in the utility
- ➥ Identify probable hazards relating to the utility's methods, processes, and practices
- ➥ Decide which standards apply to the utility
- ➥ Plan a program to be sure the utility always is a safe and healthy place to work



Safety is not just about protecting workers; safety includes protecting your community. If all the parts of a utility were contained within the walls of a water plant, it would be much easier to be safe. But the water and wastewater is found throughout the community. Most of the areas that the utility uses cannot be controlled exclusively for utility purposes. Watershed, above ground pipes, water tanks, fuel storage areas, and sewage lagoons can all be isolated to some degree, but there is always the risk that an individual may intentionally or unintentionally get hurt around these facilities.

In addition, the utility is many times treating the water with chemicals before selling it to the customers. This creates a liability to assure that the water is safe to distribute. It must be safe from the natural contaminants and safe from whatever the utility has added to treat the water. It is not possible to foresee and eliminate all the hazards. The utility has a responsibility to eliminate the ones that a prudent person could predict. If they don't, they are liable for the consequences.

Lesson 2

Instructor Tips

- Ask for a volunteer to read the case study. (See potential discussion questions for discussion items.)

Ideas for Real Life Examples

- Give an example of an accident that was reviewed for safety violations and how it was corrected.
- Give an example of an OSHA site visit (non-voluntary or voluntary).

Potential Discussion Questions

- Would a hazard assessment have solved this problem?
- Has anyone ever had a similar problem?
- How was it solved?
- Has anyone ever had an OSHA visit?
- Has anyone ever invited OSHA out for a voluntary site visit?

TIME BAR (45 minutes)

Speaker Notes

Emphasis that with proper safety policies, procedures, and training, work site hazards can be minimized or avoided. While you can't predict everything that may happen, you should take time to think about what might be likely to occur and take steps to prevent it.

Occupational Safety and Health (OSH) is a part of the Labor Standards and Safety Division of the Alaska Department of Labor and Workforce Development. They will provide on-site hazard consultations as part of the voluntary compliance program. If you can get someone from OSH to come and visit your community, it may save you money in the long run by avoiding costly fines and keep your utility safer and accident-free.

Case Study

Traffic Control

A city had three accidents in one week involving 4-wheelers injuring utility people working on the water and sewer pipes in the street. In one accident the worker had to be airlifted out to the hospital with a broken leg. In all cases, the people driving the 4-wheelers were going too fast.

The mayor called a meeting to discuss the problem. Some residents wanted to blame it all on the kids and adults driving too fast. Others said it was the city's fault for not having signs out warning drivers of the work. After listening to everyone, the mayor said that the utility supervisor had done a hazard assessment and found that in one accident there were no signs posted that work was being done around the corner. Two of the accidents had occurred at one of the rough spots, and the speed of the 4-wheeler was a contributing factor. The other accident was on a smooth area and was entirely due to excessive speed of the driver because there were signs posted about the work ahead.

The utility supervisor said that warning signs will be put out, and the mayor agreed to have the road smoothed out but also wanted everyone to slow down!

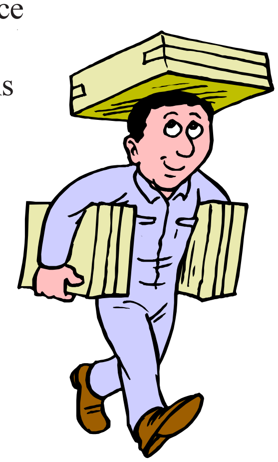
The very worst thing that can happen if things go wrong for your utility is causing an unnecessary death. It is an uncomfortable risk in your job. It is also a real risk. As uncomfortable as it may be to face, we have to acknowledge the risk is there. We take the risk because, without water treatment, people will definitely get sick and die. When done properly, our work reduces the risk (and incidence) of such disease and death. Some argue that water treatment is the single largest reason human lifespans have doubled in America, from an average of around 35 years just two centuries ago, to well over 70 today.

Fortunately, with proper safety policies, procedures, and training you can avoid such disasters. These policies will never be perfect for it is impossible to foresee every possible thing that can happen. However, they can help prevent unnecessary surprises.

Labor Standards and Safety Division — Occupational Safety and Health

Occupational Safety and Health (OSH) is a part of the Labor Standards and Safety Division of the State of Alaska's Department of Labor and Workforce Development. Like its federal counterpart, the Occupational Safety and Health Administration (OSHA), the OSH Voluntary Compliance Section provides on-site hazard consultations to employers as a part of their voluntary compliance program—though you may have a hard time getting them to come all the way to your community. A safety or health consultant with extensive training and experience performs these visits, and there is no cost to the utility for this service.

If you cannot get outside help with this process, you can at least start by getting their guidelines and doing a walk-through assessment on your own. Even if it is imperfect, it will be a better start than no assessment at all.



Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Hand out copies of the OSH Manager's Handbook.

References

OSH Manager's Handbook

Ideas for Real Life Examples

- Give an example of a time when the safety handbook should be referred to (accident investigation policy).
- Give an example of a safety topic on a staff meeting agenda (alcohol and controlled substance policy).

Potential Discussion Questions

- Who has an employee safety handbook?
- Is the handbook regularly referred to?
- Are there are new policies that should be added to the handbook?

TIME BAR (55 minutes)

Speaker Notes

Discuss the information found in the OSH Manager's Handbook and how it may be used to develop or upgrade the participant's utility safety program. Select and discuss a few items found in the safety check list starting on page 13 of the OSH Manager's Handbook.

Identifying a safety hazard in not enough. You must follow through and correct the problems brought to your attention. Prioritize the problems and hold a staff meeting so all employees are aware of all potential hazards.

An employee safety handbook should have general safety practices, common hazards identified, and procedures listed to deal with those hazards.

The safety issues and emergency plans of the utility should be shared with the health aid, the fire department, and other emergency workers.

A safety manual makes clear the roles and responsibilities each person will play in providing for a safe work place.

OSH Manager's Handbook

A useful tool for safety is the OSH Manager's Handbook. It contains a self-inspection checklist and other valuable information for developing a safety program. For a free copy, write or call:

State of Alaska: Occupational Safety and Health
P.O. Box 21149, Juneau, Alaska 99802-1149
(907) 465-4855
www.labor.state.ak.us/lss/forms/mgrhandbook.pdf

OSHA requires a 24 hour response for serious injury, dismemberment or death.

Importance of Follow Through!

It is one thing to have an accident you couldn't foresee. You can deal with that, after all, we are all human and mistakes do happen. Yet, if you go to the trouble of conducting a hazard assessment and don't address what you discover, it will be very hard to forgive yourself.

If you find many problems needing attention, work to prioritize them. Hold a staff meeting so you can review all of them with your staff. That way, even if you can't fix all your problems immediately, everyone will at least be aware of them.

Should you find the problems are bigger than you can solve on your own, do not be afraid to seek outside help from your council and state and federal government agencies.

Your Employee Safety Handbook

The employee safety handbook contains all general safety practices, lists of the hazards identified for each of the special programs, and specific procedures for each of these programs. You can use your hazard assessment and the resources mentioned above in developing your own safety handbook.

Once you've made it, share your handbook with other local agencies. The safety issues and plans of the utility should be shared with the health aide and fire department and with any other emergency workers in the community. They are most likely to respond to a utility employee emergency, and they need to be familiar with the potential hazards of the utility.

Your safety handbook will cover all necessary safety topics. It also makes clear the roles and responsibilities each person will play in providing for a safe workplace.

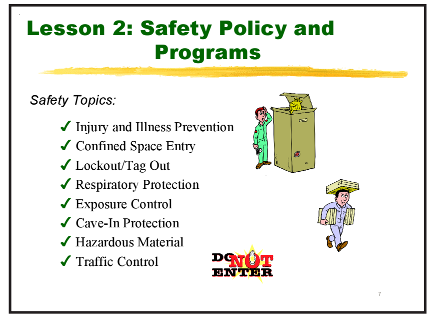
Safety Topics

Most water and wastewater utilities develop safety programs to address work practices. The following are examples of programs that would be described in detail as a part of a safety handbook.

Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Cover the topics on the slide with a piece of paper and reveal the topics one at a time as you discuss them.



Ideas for Real Life Examples

- Give an example of a situation highlighting the importance of one of the safety topics (traffic control in school area).

Potential Discussion Questions

- Has anyone encountered a situation involving one of the safety topics?

TIME BAR (1 hour 10 minutes)

Speaker Notes

Students should be able to define each of the eight safety topics.

List the topics that the employee safety handbook should address:

- ✔ **Injury and Illness Prevention**
- ✔ **Confined Space Entry**
- ✔ **Lockout/Tag Out**
- ✔ **Respiratory Protection**
- ✔ **Exposure Control**
- ✔ **Cave-In Protection**
- ✔ **Hazardous Material**
- ✔ **Traffic Control**

When each topic is revealed, ask one of the participants to read the definition in the student manual. (See potential discussions question for discussion ideas.)

Exercise - Safety Policy and Programs Evaluation: After students have completed the check list, ask for samples from each category.

Injury and Illness Prevention

This program is the umbrella program for the utility. The program addresses general injury and illness prevention, accident investigation, general safety policy, personal protective equipment, first aid, ladder use, lifting, cold weather exposure, record keeping, general safety training, safety committees, and utility-wide safety evaluation.

Confined Space Entry

This program describes practices required for safe entry into confined spaces such as storage tank, manholes, and valve pits.

Lockout/Tag Out

This program addresses methods that must be used to prevent the accidental start-up or movement of machinery when start-up or movement could cause injury.

Respiratory Protection

This program addresses the selection, use, and care of all respiratory protection devices used by utility staff.

Exposure Control

The exposure control program addresses methods used to protect the staff from water and blood borne pathogens that they could be exposed to during their work. In many utilities, this program has been expanded to include exposure to asbestos fibers while working with asbestos cement (AC) pipe.

Cave-In Protection

Cave-in protection is covered in what is called the competent person program and addresses the requirements and practices necessary to protect workers in excavations.

Hazardous Material

This program is also called the "Right-to-Know" program. It establishes procedures for handling, storing, and dispensing of chemicals and fuels in the utility. It also provides for labeling chemical containers and maintaining files with Material Safety Data Sheets (MSDS) for each chemical stored on the premises.

Traffic Control

Sometimes utility work must be accomplished in the midst of vehicle traffic. The traffic control program provides the procedures used by utility personnel to protect workers, pedestrians, and drivers of vehicles from accidents at job sites in public areas.

Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Display a flip chart with the title of Employee Responsibilities.

Ideas for Real Life Examples

- Give an example of a workplace safety issue where the employee did not follow a safety rule (did not wear gloves when handling chemicals).

Potential Discussion Questions

- Has anyone ever asked you to violate the law while working on a utility project? How did you handle the request?
- Ask students to brainstorm employee responsibilities for workplace safety and list them on the flip chart.

TIME BAR (1 hour 20 minutes)

Speaker Notes

As a manager, you must make it clear that neither you nor the utility will violate the law and will not tolerate those who do. Utility employees who are requested or directed to do any thing that violates the law must report it to their supervisor immediately.

To make work place safety and health issue responsibilities clear, the supervisor can provide information using staff meetings, posting information on bulletin boards, sending memos, or using other written communications.

The employer is not solely responsible for safety in the work place. We will identify and discuss the responsibilities of the employer and the employee.

For the safety and well-being of the employees, supervisors are responsible for:

- **Providing safe work procedures and environments**
- **Informing and training employees in safe work habits**
- **Detecting and correcting unsafe practices and conditions**
- **Investigating accidents and preparing accident reports**
- **Encouraging employees to report unsafe conditions and to submit practical safety suggestions**

In what ways are employee responsible for safety?

- **Obeying rules and exercising caution in all work activities**
- **Developing and maintaining safe work habits**
- **Promptly reporting all accidents and injuries**
- **Immediately reporting any unsafe condition**
- **Knowing the location of fire extinguishers and how to use them**
- **Knowing the location of fire exits and how to report a fire**

Each written document (or safety handbook section) should include specific policies, a list of responsibilities, and specific procedures required in implementing work practices that protect the worker from accidents and illness.

Responsibility: Workplace Safety Expectations are a Two-Way Street

Just as there are legal requirements that guide the utility, there are also standards of behavior for the employee. Workplace expectations are, after all, a two-way street.

As a manager, you must make it clear that neither you nor the utility will violate the law and will not tolerate those who do. If an employee believes that anyone associated with the utility has requested or directed them to do anything that violates the law or has prohibited the employee from doing anything that the law requires him or her to do, the employee **must** report this immediately to a supervisor.

Employee responsibilities include, but are not limited to, the following:

- Maintenance of production/service standards – quality, quantity, and priorities
- Responsible use of working time – self and other employees
- Cooperation with supervisor and other employees
- Observance of safety and health rules
- Proper use and maintenance of company equipment and materials
- Respect for other employees and their property
- Acceptable personal appearance and dress
- Protection of confidential information

Making Responsibilities Clear

For the safety and well being of the employee and to keep the utility from being sued, you should provide information to employees about workplace safety and health issues through regular internal communication channels, such as supervisor-employee meetings, bulletin board information, memos, or other written communications.

Each supervisor shall be responsible for:

- Providing safe work procedures and environments
- Informing and training employees in safe work habits
- Detecting and correcting unsafe practices and conditions
- Investigating accidents and preparing accident reports
- Encouraging employees to report unsafe conditions and to submit practical safety suggestions

Each employee shall be responsible for:

- Obeying rules and exercising caution in all work activities
- Developing and maintaining safe work habits
- Promptly reporting all accidents and injuries
- Immediately reporting any unsafe condition
- Knowing the location of fire extinguishers and how to use them
- Knowing the location of fire exits and how to report a fire

Lesson 2

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Request a volunteer to read the case study.
- Have a new flip chart page with the title Safety Hazards Found.

Ideas for Real Life Examples

- Give an example of a safety hazard that was solved by a policy change (properly marking all haz-mat materials).

Potential Discussion Questions

- Identify and list all safety hazards found in the case study on the flip chart.
- Have you had a similar problem with public assess to the water treatment plant?

TIME BAR (1 hour 30 minutes)

Speaker Notes

In the case of accidents that result in injury, regardless of how insignificant the injury may appear, employees should immediately notify the appropriate supervisor.

Employees, who fail to report accidents resulting in injury, who violate safety standards, or who cause dangerous situations should be disciplined or terminated.

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

In the case of accidents that result in injury, regardless of how insignificant the injury may appear, employees should immediately notify the appropriate supervisor. Such reports are necessary to comply with laws and initiate insurance and workers' compensation benefits procedures.

Employees, who violate safety standards, who cause hazardous or dangerous situations, or who fail to report or fail to remedy such situations, should be subject to disciplinary action up to and including termination of employment.

Case Study

Safety Planning: Children in the Chemical Bin

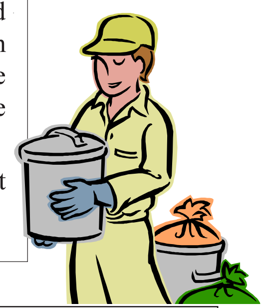
In one city, the washeteria was in the same building as the water treatment plant. This is often the case, since you pump the treated water right through the wall to the washeteria.

The town hired one employee for two jobs: #1 to run the water plant and #2 to make change and sell soap for the washeteria. They put his office in the water plant.

To buy quarters for washing or simply to talk to him, customers had to walk all the way through the water plant. To get to his office, they had to go past the boilers, past the electrical panel, past the water piping and treatment, and past the chemical storage. There were kids running in and out because it was an uncontrolled space.

There were a lot of safety hazards. Any kid could have walked back, unsupervised, to where all the chemicals, tools, generators, and parts were stored. Once they recognized the problem, the city built an office up front. They also set a policy that when an employee is acting as washeteria staff, the employee is in the washeteria office and the door in-between the water plant and the washeteria is kept closed. That was done before anyone got hurt.

In the end, they wrote up two separate job descriptions and paid the staff different wages when they were doing the different jobs.



Action Plan:

1. ______________________________

____

____

2. ______________________________

____

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3. ______________________________

____

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Lesson 3

Instructor Tips

Lesson 3 will take 4 hours to complete.

- Ask for a volunteer to read the case study.

Ideas for Real Life Examples

Potential Discussion Questions

- Who do you hire? Do you hire who is available or wait for experienced people to apply?
- How many of you provided references when you applied for your job? Were your references checked?
- Have you checked a candidate's references? If so, what were the best questions you asked?

TIME BAR (24 minutes)

Speaker Notes

All small utilities must staff their operations. What is the ideal staffing level? There is no magical number of staff you need to hire. The point is that you do need to have some employees to assist with the day-to-day operations of the utility.

This lesson explains how to select and hire the best person you can for the job you have open. As a manager, you'll never have more control over a potential employee than during the hiring process. It's far easier to eliminate a potential problem up front then to try to deal with problems that occur later on, after the person has been hired.

Lesson 3: Selecting and Hiring Staff

Introduction

All small utilities must staff their operations. This involves bringing new people into the utility and making sure they are productive additions to your team. As an effective personnel manager, you will need to match and develop the abilities of your job candidates and employees with the needs of the utility. A responsive personnel system will assist you in this process and is a key ingredient for growth.

Personnel management is a balancing act. At one extreme, you hire only qualified people who are well suited to the utility's needs. At the other extreme, you train and develop less qualified employees to meet the utility's needs. Most small utilities fall between the two extremes: they hire the best people they can find and afford, and they recognize the need to train and develop both current and new employees as the utility grows.

Overview of This Lesson

This lesson explains how to select and hire the best people you can. It addresses the technical characteristics of effective personnel recruiting and screening systems. This may seem simple, but it is actually one of the most important parts of your management task. If you do enough work *before* you hire someone, you can save yourself enormous aggravation in trying to get rid of the wrong person.

Case Study

Reference Checks Are Important

A city had a vacant city clerk position and hired a temporary city clerk while looking for a permanent city clerk. The only applicant for the position was the temporary hire. The administrator was very pleased with his work and impressed when he said on his application that he had been a city clerk before. The city council did all the hiring for the city and accepted the recommendation of the administrator and agreed to hire him based on his application.

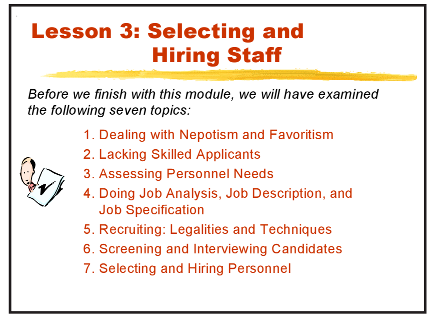
A couple of months went by, and the administrator started noticing a difference in the money received from the washeteria daily counts. The amount deposited each day was getting smaller and smaller. About this time the administrator asked the Local Government Specialist (LGS) for training assistance. While the LGS was there, the administrator brought to the LGS's attention the differences in the washeteria daily counts. There were also some conflicts in personality involving the city clerk.

The administrator was asked by the LGS if she did reference checks on the new city clerk. The administrator said she had not done reference checks. The LGS and administrator then determined that the clerk was still in his probationary period so the administrator was able to do reference checks. The administrator especially wanted to talk to his last three employers. The next day the administrator did just that and found out that the new city clerk had problems in his last two jobs which never got reported to the police or State Troopers. The LGS, after talking with the mayor, then told the administrator to call the Alaska Municipal League (AML) to ask about doing a probationary termination. AML referred the administrator to an attorney who advised them to let the city clerk go immediately.

Lesson 3

Instructor Tips

- Go over items on the slide but don't spend too much time on them.



Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (30 minutes)

Speaker Notes

This slide is an overview of topics that will be discussed in more detail in this lesson. Remind students that even though this information may seem complicated, it is a job that they can still do well.

We begin with an examination of unfair hiring practices (nepotism and favoritism) and how to avoid them. Sometimes you can't find exactly the person you are looking for. Is it better to hire no one or someone not quite right for the job? We will try to sort out the pros and cons of each and how you can work through these kinds of problems.

Before you even begin trying to hire someone, it is important to know who and what you really need, not just now but in the longer term as well. We will show you how to assess your needs before you even advertise a position and to use the tools of job analysis, job description, and job specification effectively.

Okay, you will soon know who and what you want. Now, where will you find them? We will show you how recruiting works, both legally and technically. It seems simple enough at face value, but the reality of recruiting can be complicated and doing it incorrectly can land you in hot water. With the guidelines in this part of today's lesson, you will learn how to recruit and improve your chances of getting qualified people to apply for your positions.

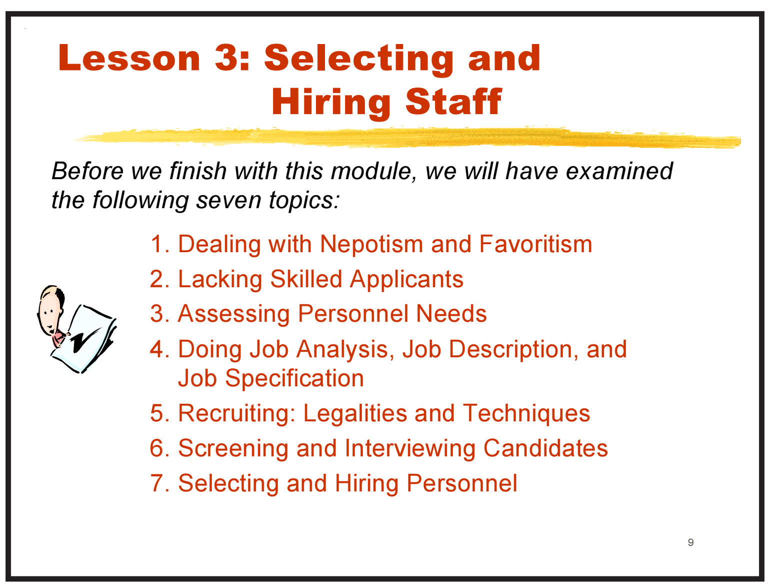
You will learn about screening and interviewing applicants, deciding who you want, and finally, hiring employees. Our exercises will help you see how all of this fits together and give you some practice you can use upon your return to your utility.

Before we finish with this lesson, we will have examined the following seven topics:

1. Dealing with Nepotism and Favoritism
2. Lacking Skilled Applicants
3. Assessing Personnel Needs
4. Doing Job Analysis, Job Description, and Job Specification
5. Recruiting: Legalities and Techniques
6. Screening and Interviewing Candidates
7. Selecting and Hiring Personnel.

You will learn through this some of the importance of a good personnel management climate—plus you will gain specific guidelines for creating such a climate.

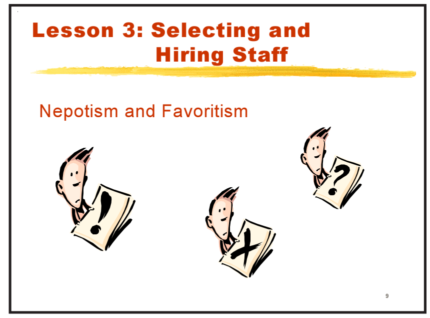
Larger organizations often have their own human resource departments with a staff of full-time workers dedicated solely to the task of recruiting and hiring. So don't feel bad if you feel like this is complicated business — it is. Keep in mind, though this is a big job, it is still one you can do well.



Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

- Give an example of a community who hired lots of people (relatives and friends), and then had problems with payroll being to high and nothing getting done because the employees didn't have the necessary skills to do their jobs.

Potential Discussion Questions

- Does your utility hire relatives?
- What is your utility's policy for supervising relatives?
- Are nepotism and favoritism good ideas?
- Is hiring the mayor's wife nepotism or favoritism? Why?

Speaker Notes

TIME BAR (35 minutes)

What is nepotism?

<u>Nepotism</u> means hiring someone who is related to you for a position you have the authority to fill.

How do you deal with nepotism? Establish common sense guidelines. Make sure you need to hire the person and that the person is the best person for the job.

What is favoritism?

<u>Favoritism</u> is showing preference to someone for a job, who is a close relative of someone in power or might be a close friend of a friend.

How do you deal with favoritism? The same methods for dealing with nepotism apply. Establish common sense guidelines. Make sure you need to hire the person and that the person is the best person for the job.

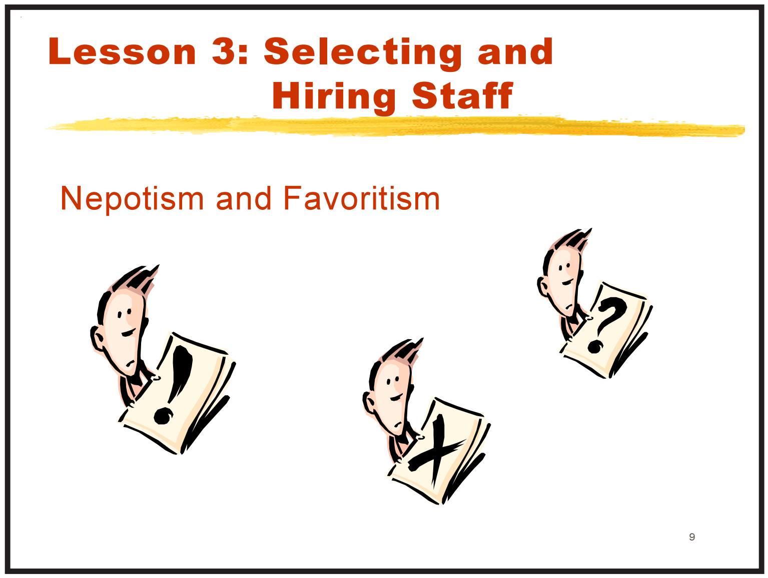
Are nepotism and favoritism good ideas? No. It's not fair to hire someone because they are your friend or family or because you think you'll earn favors. You could end up with frustrated employees covering for unskilled employees and with a high payroll. Plus, you might get sued.

Let's start by talking about two issues that you need to consider from the start when hiring in small communities: (1) Nepotism and Favoritism and (2) Lack of Skilled Applicants. Both of these issues, as you will see, point to the need for paying careful attention before you even begin hiring anybody.

Dealing with Nepotism and Favoritism

Being realistic, perhaps your biggest problem when it comes to hiring in small communities is ***nepotism***. Nepotism means hiring someone who is related to you for a position you have the authority to fill even if they are "qualified" to do the job.

One of the most difficult jobs of a utility manager in Alaska is dealing with nepotism. That's because almost *everyone* in a small community is related to almost *everybody else*. No matter who you hire, it's going to be someone's brother, uncle, cousin, wife, or nephew.



But the meaning of nepotism goes beyond just close relatives. It could also include brothers- and sisters-in-law, fathers- and mothers-in-law, stepparents, stepbrothers, stepsisters, and stepchildren. And that's just a start. Hiring the wife of a current employee could also be called nepotism.

While there is a legal definition of nepotism, the definition is geared toward communities where working with a relative is rare. In small communities, it is often not possible to hire anyone that isn't directly related to someone who is already working there. Further, even the law has holes in it. For instance, while hiring your wife or son is nepotism, hiring the person with whom you are living but not married to and his/her son is not nepotism. When dealing with nepotism, it is best to establish common sense guidelines. Make sure you need to hire the person you hire and that the person is the best person for the job.

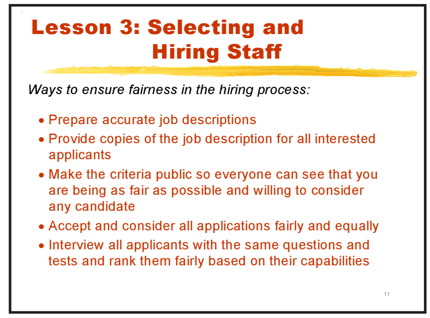
After nepotism, the next biggest hiring problem for a supervisor is favoritism. Favoritism is showing preference to someone for a job who is a close relative of someone in power or a close friend or a friend of a friend. Hiring your wife's brother's friend who needs a job for the summer is an example of favoritism. So is hiring the mayor's wife so the mayor might owe you favors.

So are nepotism or favoritism good ideas? No. The point is that it isn't fair to hire someone because they are your friend or family or because you think you will earn favors with someone else. And on top of that, you can get sued for it!

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Cover slide with an extra piece of paper and uncover one at a time.



Ideas for Real Life Examples

- Provide an example of hiring a relative that had no documentation and ended up in court.

Potential Discussion Questions

- Were you given a job description before you were hired?
- Did you see a job description before you accepted the job?
- Does your utility advertise for its positions? How?

TIME BAR (40 minutes)

Speaker Notes

Sometimes the best person for the job is a close relative or a friend to someone on your team. So what do you do? You hire someone because they are the best applicant for the job. You must not take into consideration whether or not they're a relative or close friend. The way to handle criticism about hiring a relative or friend is to prove you've chosen the best person for the job.

How can you be sure you've chosen the best person for the job?

a. **Prepare accurate job descriptions with applicant skills and experiences needed**
b. **Provide copies of job description**
c. **Make the criteria public**
d. **Accept and consider all applications fairly and equally**
e. **Interview all applicants with the same questions**

To avoid charges of nepotism and favoritism <u>interview all applicants with the same questions</u>.

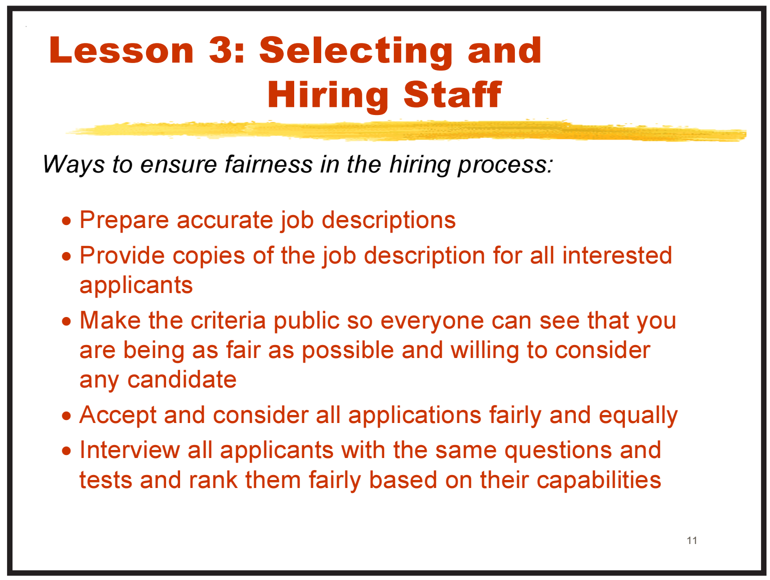
If you follow these guidelines, you can be sure to treat all applicants fairly and reduce the likelihood of a lawsuit. This is especially important in small communities since everyone thinks they know everyone else's qualifications.

But then again, in a small community you often won't have a choice. Sometimes the best person for the job is a close relative or friend to someone else on your team. Sometimes they will be related to the mayor or council members in some way. So what do you do? How do you avoid criticism for doing what is best for the utility? Here are some tips:

You need to hire people because they are the best of all the applicants for the job. Clear and simple! If they are related or a friend of a friend, that must be an irrelevant issue—meaning that must not be the real reason for hiring them.

Be aware that no matter how you go about hiring your brother or friend, you are going to be subject to criticism. The way to handle the criticism is to be able to prove that you have chosen the best person for the job. You can do this in a number of ways:

- Prepare accurate job descriptions with the applicant skills and experience requirements you are looking for
- Provide copies of the job description for all interested applicants making it clear you are looking for the best possible person for the job
- Make the criteria public so everyone can see that you are being as fair as possible and willing to consider any candidate
- Accept and consider all applications fairly and equally
- Interview all applicants with the same questions and tests and rank them fairly based upon their capabilities



If you do give an examination, after grading it, put a copy of the test on a bulletin board along with the ranking of everyone who took it. That way everyone will know that your brother was hired because he earned the highest ranking. (You can keep from embarrassing people by only posting the rankings not the actual scores.)

If you do all these things, you can ensure fairness and protect yourself from lawsuits at the same time. If the best person for the job really is your brother, and he proves himself best in a fair way, then good for him! And if he isn't the best, this method gives you a good way of hiring someone else without hurting his feelings; he can't blame you if he knows you are being fair and that you have to be fair to avoid being sued.

Further, in a small community, many people will know all the candidates personally, and if your brother (or whomever you hire) is truly the most qualified, most people will know it.

Lesson 3

Instructor Tips

Ideas for Real Life Examples

- Provide an example of an advertised position that had no applicants.

Potential Discussion Questions

- Is "no hire" better than a "bad hire"?
- If you can't find a local person, do you advertise outside?

Speaker Notes

TIME BAR (50 minutes)

Facilitate a discussion about whether a "no hire" is better than a "bad hire." Sometimes a utility manager is faced with another difficulty: there are no skilled applicants for a job opening.

If you don't hire anyone, you will be stuck doing two jobs. If you do hire someone who doesn't have the necessary skills, you could still end up doing both jobs and not have a job available if a qualified applicant comes along. The ultimate answer depends on the utility manager.

Remember, the easiest thing to do is hire someone. All you have to do is say, "Yes!" You will never have more control over a potential employee than during the hiring process so carefully think through your hiring decisions.

The purpose of this class is to help you develop a personnel system. We will be giving you tools and detailed instructions starting with assessing personnel needs on the next page.

Lacking Skilled Applicants

Sometimes a supervisor is faced with another difficulty. Many communities face a lack of skilled applicants. There is no reason to become an expert on water utility issues until you know you have a job.

Suppose you have a job opening, and no one qualified has applied. Or the only person who has applied is, shall we say, a "difficult person to get along with" or just not suitable for the job. Are you better off hiring no one or someone who is not qualified for the job?

The answer, of course, is your decision. You are doing the hiring and firing so you are the one who will be ultimately responsible. If you hire no one, you are stuck doing your job and the job you want filled, or the work doesn't get done. There's not a lot of joy in doing two jobs and only being paid for one.

But then again, hiring someone who is either incompetent or undependable won't bring you much joy either. You could end up doing both jobs anyway. There will be added work for you, including more time supervising, checking work being done as well as work completed, and correcting problems. This may reduce confidence in the utility's ability to operate. Worst of all, you won't have a job available if and when a qualified candidate does appear.

But you can't do everything yourself.

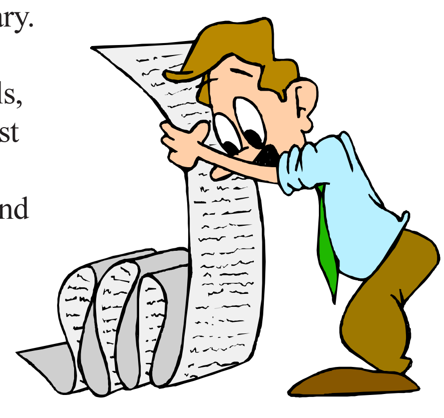
Well, what's the answer? Actually, it depends on your personality. If you have no trouble firing people, you might want to take on the inferior applicant in hopes he or she will surprise you. Then, after a reasonable amount of time if the new worker does not rise to the level you expect, you can release him or her.

On the other hand, if you find firing people to be a painful experience and feel uncomfortable in seeing the people you have fired when you pass them on the street, don't hire anyone. Do both jobs until the right candidate comes along.

The Nuts-and-Bolts of Hiring: Developing a Personnel System

One of the easiest things to do in business is hire someone. All you have to do is say, "*Yes*" and make someone happy. It's even easier when you hire someone you don't have to work with.

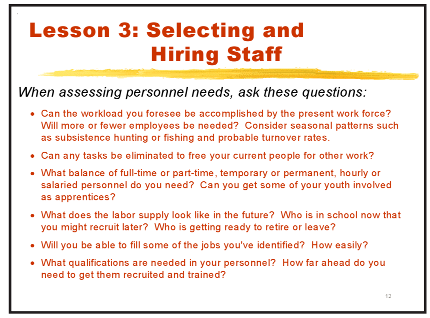
But when you have to hire someone you will work with, it can be scary. Particularly when you don't know the person, and you think about everything that could go wrong. A personnel system is the set of tools, like pliers, wrenches, and screw drivers in a shop, that help you adjust the engine of a winning team and serve your community. As your experience base grows, you will be able to fine-tune any employee and the personnel system into a rebuilt engine. But most of us need detailed instructions, and this class is designed to provide that.



Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Have students take turns reading the principles of personnel management.
- Cover overhead and reveal items one at a time.



Ideas for Real Life Examples

- Provide an example of why you should get youth involved in utility operations.

Potential Discussion Questions

- Does your utility train youth for future jobs?

TIME BAR (1 hour)

Speaker Notes

Before we talk about the first step in assessing personnel needs, let's discuss some clear, well-proven principles of personnel management. Refer students to the list on the top of page 30. After having students take turns reading them aloud, briefly elaborate on them. The principles listed on page 30 are the following:

- Hire only those people both willing and able to do the job
- Create accurate and realistic descriptions of skills needed for each job to help you hire the "best"
- Write job descriptions and definitions to communicate job expectations to your employees
- Select employees for their skills, not friendship or expediency.
- Clearly spell out what you expect from your workers and evaluate their performance based on those expectations
- Have a probationary period for new workers or current workers in new roles
- Set measurable learning goals when training your employees

The first step in assessing your personnel needs is to ask yourself about your future personnel needs. The following questions can help in assessing your future needs.

What questions should you ask yourself when you are assessing your personnel needs?

a. **Can the workload you foresee be accomplished by the present workforce?**
b. **Can any tasks be eliminated to free current people for other work?**
c. **What balance of full-time or part-time, temporary or permanent, hourly or salaried personnel do you need?**
d. **What does the labor supply look like in the future?**
e. **Will you be able to fill some of the jobs you have identified?**
f. **What qualifications are needed in your staff?**

Assessing Personnel Needs

As the utility manager, you should base the utility's personnel policies on clear, well-proven principles. If you use the following principles in your work, you will end up with better staff quality and performance and fewer headaches or interruptions to your sleep.

The most important of these principles or rules are:

- ✔ Hire only those people both willing and able to do the job.
- ✔ Create accurate and realistic descriptions of skills needed for each job to help you hire the "*best*."
- ✔ Write job descriptions and definitions to communicate job expectations to your employees.
- ✔ Select employees for their skills, not friendship or expediency.
- ✔ Clearly spell out what you expect from your workers and evaluate their performance based on those expectations.
- ✔ Have a probationary period for new workers or current workers in new roles.
- ✔ Set measurable learning goals when training your employees.

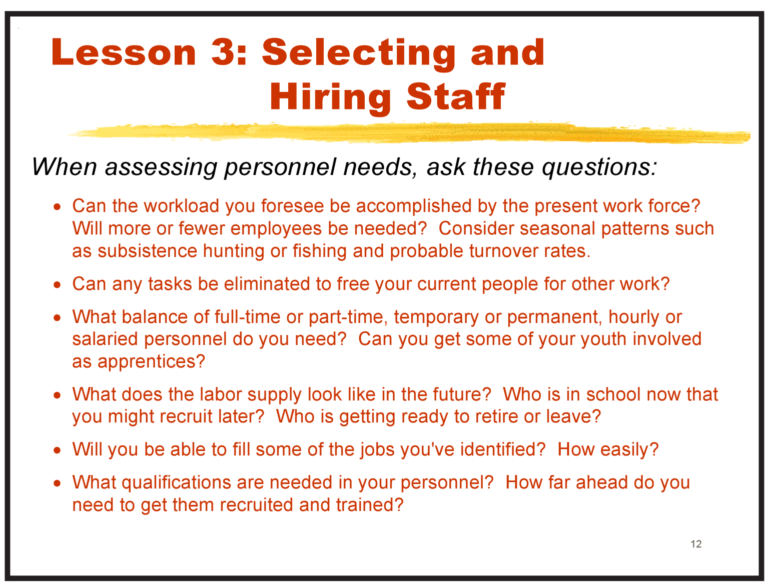
All of these principles will lead you to creating the best team you can. Instead of blindly hiring someone based on a brief interview, you set clear standards with which to evaluate them.

Stop! Ask yourself some important questions:

The first step in assessing your staffing needs for the utility is to **ask yourself about your future personnel needs:**

- ✔ Can the workload you foresee be accomplished by the present work force? Will more or fewer employees be needed? Consider seasonal patterns such as subsistence hunting or fishing and probable turnover rates.
- ✔ Can any tasks be eliminated to free your current people for other work?
- ✔ What balance of full-time or part-time, temporary or permanent, hourly or salaried personnel do you need? Can you get some of your youth involved as apprentices?
- ✔ What does the labor supply look like in the future? Who is in school now that you might recruit later? Who is getting ready to retire or leave?
- ✔ Will you be able to fill some of the jobs you've identified? How easily?
- ✔ What qualifications are needed in your personnel? How far ahead do you need to get them recruited and trained?

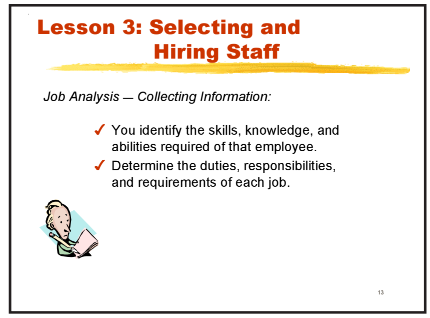
Develop predictions for your labor needs based on your answers to these questions. Once your needs are estimated, determine strategies to meet them.



Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

- Provide an example of a recent job analysis showing the need to update a job description.

Potential Discussion Questions

- Why is it important to do all this ground work (job analysis, job description, and job specification) before advertising for a vacant position?
- Why do you need to gather all the information listed in the job analysis exercise?

TIME BAR (1 hour 10 minutes)

Speaker Notes

Now that you know what your personnel needs will be, sit down and define the requirements for each job. To do this, you must write down the skills, knowledge, certifications, and other qualifications that employees must possess to perform each task.

To guarantee that personnel needs are adequately specified, conduct a job analysis, develop a written job description, and prepare a job specification.

A job analysis is where you collect all information pertaining to each task performed by an employee.

Your job analysis should contain the following items:

- ✔ Job title
- ✔ Department
- ✔ Supervision required
- ✔ Judgment and responsibility
- ✔ Job description: primary and implied duties and all responsibilities
- ✔ Unique characteristics of the job including location and physical setting
- ✔ Types of material used
- ✔ Types of equipment used
- ✔ Qualifications
- ✔ Experience requirements
- ✔ Education requirements
- ✔ Mental and physical requirements
- ✔ Manual dexterity requirements
- ✔ Working conditions (inside, outside, hot, cold, dry, wet, noisy, dirty, etc.)

Remember, the first step to recognizing talent is to understand what you're looking for in a new employee.

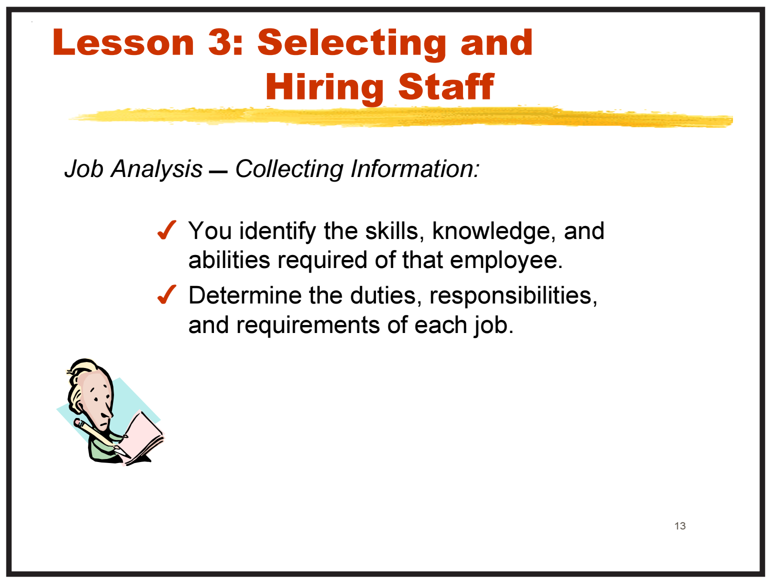
Exercise- Job Analysis

Before you can select a competent person for each position, you need to sit down and define the requirements for each job. This means writing down the skills, knowledge, certifications, and other qualifications that employees must possess to perform each task. To guarantee that personnel needs are adequately specified, (1) conduct a **job analysis**, (2) develop a written **job description,** and (3) prepare a **job specification**.

Job Analysis — Collecting Information

A *job analysis* is where you collect all information pertaining to each task performed by an employee. From this analysis, you identify the *skills, knowledge, and abilities* required of that employee and determine the *duties, responsibilities, and requirements* of each job. Your *job analysis* should provide information such as:

- Job title
- Department
- Supervision required
- Judgement and responsibility
- Job description: primary and implied duties and all responsibilities
- Unique characteristics of the job including location and physical setting
- Types of material used
- Types of equipment used
- Qualifications
- Experience requirements
- Education requirements
- Mental and physical requirements
- Manual dexterity requirements
- Working conditions (inside, outside, hot, cold, dry, wet, noisy, dirty, etc.)



Remember that the first step to recognizing talent is to understand what you want in a new employee. By looking closely, you may realize you are not looking for a secretary; you are looking for an office manager. Or, you are not looking for someone who can just take a water sample; you are looking for someone who will do it on time, every time.

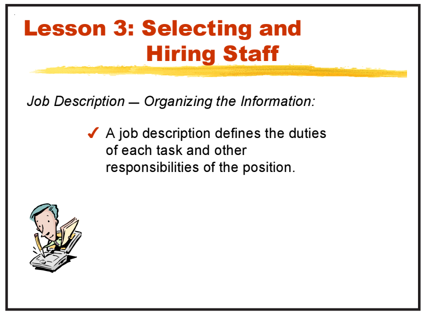
Cutting right to the chase, what will this person's most important job be? Supervisors with the talent to recognize talent understand that this new person's real job is not just to do their assigned job. It is also to do it in a way that will "keep the city council off my back," "handle customer complaints without upsetting the customer," or "keep the chemicals stored securely where kids can't get at them."

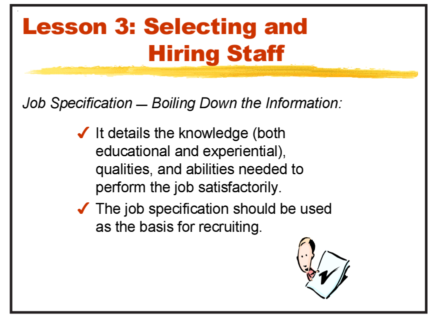
Sure, doing a job analysis is a pain, but it needs to be done to prevent worse pains in the future. Now that you've tried doing one yourself, you can see how helpful the job analysis is going to be in sorting out what you need for a job description.

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.





Ideas for Real Life Examples

- Provide an example of an employee who didn't have a job description, was fired for not doing her job, and won a lawsuit for wrongful termination because the employer didn't provide her with the information necessary for her to do her job.

Potential Discussion Questions

- Assume that you have assessed your staffing needs and have determined that you need to hire a person on a part-time basis to handle the chemicals, take care of some custodial duties, and to cover other employees' sick days and vacations. What skills and knowledge would a potential employee need to perform basic job functions described above?
- Is it legal to have "other duties as assigned" on the job description?

TIME BAR (1 hour 30 minutes)

Speaker Notes

The <u>job description</u> defines the duties of each task and other responsibilities of the position.

The job description is a tool for your employees so that they know what you expect from them. The job description covers the various task requirements that you brainstormed in the job analysis exercise. Other sources that you can use to help develop job descriptions are current employees and the RUBA Program.

Exercise: Job Description

The <u>job specification</u> describes the actual person expected to fill the position.

Taking the knowledge, skills, and abilities from the job description, you can create your job announcement for when you advertise for a vacant position. Equally important, the job specification provides the standard against which to measure how well an applicant matches the job opening announcement.

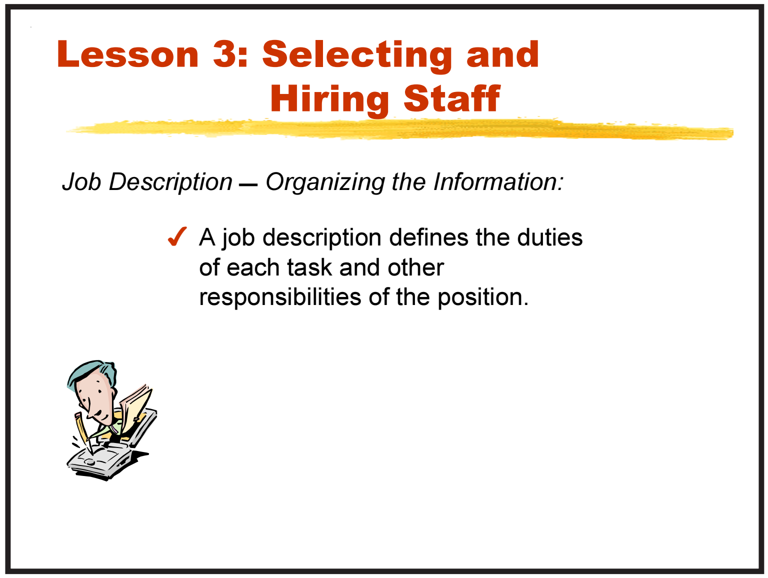
Exercise: Job Announcement

The next topic, the testing of candidates, shows how all the groundwork we laid with the job analysis, job description, and job specification can be used to support the selection procedure. You need to document two things. First, that the knowledge, skills, and abilities are defined in terms of work that is truly needed for the successful performance of essential job tasks.

Job Description – Organizing the Information

Where the job analysis is a tool for you in planning and management, the job description is a tool for your employees so they can better understand what you are hoping for and expecting from them.

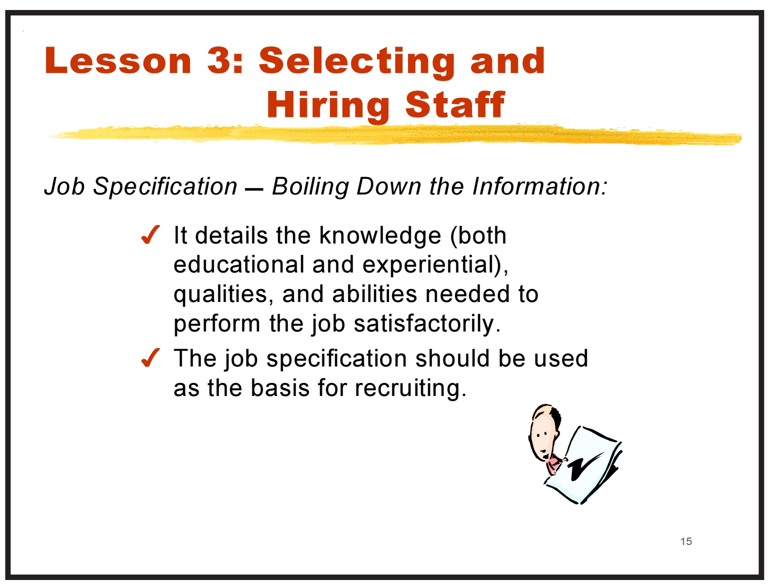
A *job description* defines the *duties of each task* and *other responsibilities* of the position. The description covers the various task requirements, such as mental or physical activities, working conditions, and job hazards. The approximate percentage of time the employee should spend on each activity is also specified. Job descriptions focus on the "what, why, where, and how" of the job.



Aside from referring to your job analysis (which now has most of this information), there are two excellent resources you can use to develop job descriptions. First, ask your current employees to describe their jobs. A good employee may know more about the job than anyone else. Second, if you have trouble coming up with a decision, consult your Department of Community and Economic Development RUBA contact.

Job Specification — Boiling Down the Information

Finally, now you can write the *job specification,* which describes the actual person expected to fill a job. You can use this (or a shortened version of it) as your advertisement when recruiting. It details the *knowledge (both educational and experiential), qualities, skills, and abilities* needed to perform the job satisfactorily. The job specification provides a standard against which to measure how well an applicant matches a job opening and should be used as the basis for recruiting.



Testing Candidates: A Legal Issue

Even in very small communities, there are a number of laws you must follow in hiring a new employee. In order to keep yourself, your utility and your city council out of hot water – and keep from being charged with discrimination or favoritism – the following must be documented:

- The knowledge, skills, and abilities being measured by the selection procedure are defined in terms of the work that is truly needed for successful performance of essential job tasks. You don't test someone on their ability to jump, for example, if you don't need them do jump when doing the job.

Lesson 3

Instructor Tips

Ideas for Real Life Examples

- Give an example of a community whose water plant operator quit, and the city clerk/treasurer had to do both her job and the water plant operator's job. As a result, the bills were sent out late, and the monthly report to ADEC was late.

Potential Discussion Questions

- Should you reorganize the organization around the skills (or lack of skills) of the employees?

TIME BAR (1 hour 40 minutes)

Speaker Notes

Second that the level and complexity of the selection procedure closely approximates actual job requirements.

Once you have established written guidelines for the new job, you have also established the minimum levels of experience job applicants are expected to have before they are interviewed. Additionally, once you can demonstrate through your job analysis that the knowledge, skills, and abilities you are looking for are more likely to result in better job performance, you can then rank candidates on whether they have them.

What if you can't recruit someone with the skills you are looking for? Should you reorganize the organization around the skills (or lack of skills) of the employees? Redefining job descriptions is usually not a good idea. Someone still has to do the work, and there will be less time to do it. For example if your bookkeeper now has to test the water, there will be less time spent on the books. What happens when there's a crisis with the books or the water quality?

- The level and complexity of the selection procedure should closely approximate actual job requirements. For example, if you are hiring someone for a position of responsibility, you need to apply a higher standard then if you are hiring someone just to sweep the floor. On the other hand, it would be an undue waste of time to make a potential janitor get twenty letters of reference or go through three levels of interviews, just to prove they can sweep.

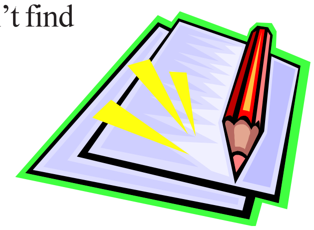
Once you have established written guidelines for the new job, you have also established the minimum levels of experience job applicants are expected to have before they are interviewed. Further, once you can demonstrate through your job analysis or another source that the knowledge, skills, and abilities you are looking for are likely to result in better job performance, then you can rank each candidate on whether they have them.

For example, if you need a water operator to be able to multiply or use a calculator to multiply when computing chemical ratios, then you can use math ability as a selection requirement. This gives you something legitimate to test for when screening candidates, because someone who does better on a math test is more likely to do better at math on the job than someone who flunks the test.

The following information should be documented to support this process:
- A job analysis detailing the content of the job
- A description of the selection procedure
- The relationship between the selection procedure and the job
- The uses and applications of the selection procedure

Redefining Job Descriptions — Pros and Cons

Be aware that it is not good management to reorganize the organization around the skills (or lack of skills) of the employees. But what do you do if you absolutely cannot recruit someone with all of the skills you are looking for? In a worse case, you may need to shut down your operation and warn your community that you are unable to provide them safe water because you can't find enough skilled staff.



You might be able to find the right people by redefining job descriptions to juggle the talent you do have available to you. Suppose you supervise a small utility with four employees. One employee leaves so there is an opening. But since you cannot find someone to fit the position, you redefine the job description so you can divide the responsibilities of the open position among your current staff. Then each remaining employee ends up with 1/3 of the work-load of the employee who is no longer there.

Even if the increased work-load comes with a pay increase because the number of hours worked has increased, redefining job descriptions is not usually a good idea. You are not really saving the utility any money. Someone still has to do the work. Worse, even if your team is paid for the extra duties, everyone's work may suffer. If the bookkeeper has to spend time testing water quality, there is less time to do the books and not enough time to do a competent testing job. And what's going to happen when there is a bookkeeping crisis? Who's going to test for water quality? Does this new person know how to do it? If there is a water quality crisis, who is going to get the books done so the paychecks come out on time?

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References

Provide copies or a summary sheet of the Civil Rights Act of 1964, the Equal Employment Act of 1972, and the Equal Pay Act of 1963.

Lesson 3: Selecting and Hiring Staff

*Hiring decisions may **not** be based on:*

- Race
- Color
- National origin
- Sex
- Age - between 40 and 70
- Disability
- Veteran status
- Handicap
- Religion

Ideas for Real Life Examples

- Give an example of someone being qualified for a job, not being hired, suing the utility, and winning.

Potential Discussion Questions

- Why were the Civil Rights Act, the Equal Employment Act, and the Equal Pay Act passed?
- What are the results of these Acts?
- Are they working? Does anything about them need to be changed?

TIME BAR (1 hour 50 minutes)

Speaker Notes

Sometimes temporarily redefining a job description can get you through an emergency, but don't ask your employees to do double duty except maybe in short duration emergencies. Train employees for jobs that you need, and find people for unfilled positions.

When recruiting, there are some laws that you need to be aware of. We will discuss them in greater depth when we talk about Regulations and the Law. For now, we will briefly touch upon some issues. There are several federal laws that deal with discrimination in the workplace. Two that you should be especially aware of are the Civil Rights Act of 1964 and the Equal Employment Act of 1972. The Equal Employment Opportunity Commission (EEOC) is charged with enforcing these laws.

Ask participants what hiring decisions can't be based on. **Hiring decisions can't be based on race, color, national origin, sex, age (between 40 and 70), disability, veteran status, handicap, or religion.**

Another law, the Equal Pay Act of 1963 requires equal pay for equal work.

Sure, sometimes *temporarily* redefining a job description can get you through an emergency. Yet making up for a lost position is not one of them. Train your people for jobs that you need, and find new people for the unfilled positions. Don't ask your employees to do double duty except in short duration emergencies–and if you do, don't expect quality work from them for very long.

Recruiting: Legalities and Techniques

As a small utility manager, you should be aware of the legal environment in which you operate. This is especially true when it comes to recruitment. We already talked a bit about how nepotism and favoritism can cause you trouble with lawsuits. Unfortunately for you, there are many, many more legal areas you must step lightly upon—or even avoid all together—less you unknowingly step on the sort of thin ice that cracks under your feet.

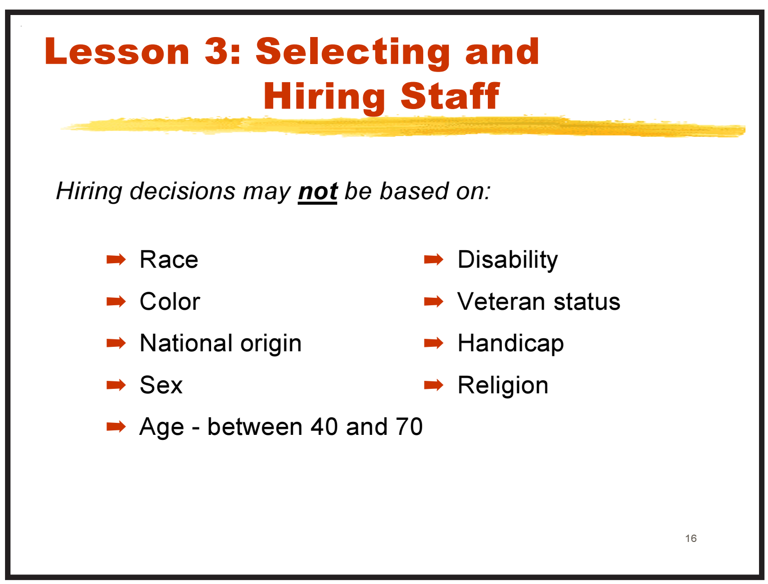
Being aware of legislation that will affect your utility is like getting a map of an ice field. This map is extremely important to efficient recruiting. We will discuss most of this in greater depth in a couple days when we work on the Regulations and the Law lesson, but let's look at a few issues right now.

The United States Congress has passed several laws that deal with discrimination in the workplace. The Civil Rights Act of 1964 and the Equal Employment Act of 1972 are two that small utility managers should be especially aware of. The Equal Employment Opportunity Commission (EEOC) is charged with enforcing federal antidiscrimination law.

The point, as you may already know, is that you simply may **not** make hiring decisions based on:

- ➜ Race
- ➜ Color
- ➜ National origin
- ➜ Sex
- ➜ Age-between 40 and 70
- ➜ Disability
- ➜ Veteran status
- ➜ Handicap
- ➜ Religion

Another law, the 1963 Equal Pay Act, requires that men and women receive equal pay for equal work.



Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

Potential Discussion Questions

(See speaker notes)

TIME BAR (2 hours)

Speaker Notes

There are lots of often-asked questions that you should avoid asking during an interview. We will talk about them to make sure you don't ask them in your next interview.

Ask students to give specific illegal questions and discuss why they can't be asked.

Certain questions are legally forbidden and asking them can lead to a discrimination lawsuit. Give examples of five illegal questions.

a. **How old are you?**
b. **Are you married?**
c. **Do you have any children?**
d. **How will you care for your children during work hours?**
e. **Where do you attend church/ lodge/ pow wow?**
f. **How old are your children?**
g. **Do you receive alimony or child support?**
h. **Are you pregnant?**
i. **Where were you born?**
j. **How much do you weigh?**

The good news is that most of these questions are non-job related, and you can keep within legal bounds if you stick to professional topics in an interview. If a candidate volunteers information during an interview that could lead to discrimination, let the candidate know that the information they volunteered is not relevant to the interview and move on. Do not write down any information that falls into any of the categories of questions that we just talked about. You could still be held liable even if the candidate volunteers the information.

Exercise: Avoiding Discriminatory Questions #1
Exercise: Avoiding Discriminatory Questions #2

Below is a list of *illegal* questions that are often asked during the recruitment process. Review them carefully to ensure that you avoid asking them when interviewing applicants.

Often Asked (but Illegal) Questions in the Recruitment Process

- ✘ How old are you?
- ✘ Are you married?
- ✘ Do you have any children?
- ✘ How will you care for your children during work hours?
- ✘ Where do you attend church/lodge/pow-wow?
- ✘ How old are your children?
- ✘ Do you receive alimony or child support?
- ✘ Are you Puerto Rican?
- ✘ Are you pregnant?
- ✘ How much do you weigh?
- ✘ What is your maiden name?
- ✘ What is your father's surname?
- ✘ Where were you born?
- ✘ What clubs do you belong to?

Discussion Notes: What You Can't Ask When Interviewing

Although you need to ask a lot of questions to conduct an effective job interview, you cannot just ask anything. Certain questions are legally forbidden and asking them can lead to a discrimination lawsuit.

Just because you don't intend to discriminate against potential employees is no defense. Furthermore, even if someone volunteers information during the interview that could lead to discrimination, you can still be held liable. For that reason, *never write down any information that falls into the categories of questions covered below* or into any others you may believe could get you into legal trouble. In these circumstances, let them know that the volunteered information is not relevant to the interview and move on.

Luckily, you can easily avoid legal trouble by avoiding certain kinds of questions. Most of the forbidden questions are non-job related, and you can keep yourself within legal bounds by sticking to professional topic in an interview.

Discussion of why to steer clear of certain questions can include:

How old are you?

People over 40 years of age are protected by state and federal law to prevent age discrimination—therefore you may not inquire about a candidate's age. Because most people graduate from high school at age 17 or 18, you may also not ask the year someone graduated from high school. However, you may ask about year of graduation from college because people attend college at different stages of life.

Lesson 3

Instructor Tips

Ideas for Real Life Examples

- Give an example of a community that hired and trained a local person and that person has successfully worked for the community for over 5 years.

Potential Discussion Questions

- Is it better to hire local or non-local? Why?

Speaker Notes

TIME BAR (2 hours 10 minutes)

Finish discussion on illegal questions.

Exercise: Hiring Process - Test your EEO knowledge

Another topic to consider when you're hiring for a vacant position is local hire. Is it better to hire locally or from outside? What factors should you take into consideration when making that decision? The advantages to hiring locally include the following:

- They and their family have a stake in the community and the water system.
- If they do leave town, there's a good chance they'll come back some day and may still be qualified for their old job.
- They spend much of their income in the community.

Are you married?

Leave this kind of question for getting acquainted after an offer has been extended.

Are you a citizen?

Although you will need to verify that someone is a citizen in order to hire them legally, you cannot find out by asking this question. You may ask it another way, however: "Could you, after employment, submit verification of your legal right to work in the United States?"

Are you planning on having children soon?

You may describe job requirements including travel, overtime, and hours and ask candidates if they have any reason they cannot meet the requirements, but you may not ask about plans for childbearing.

May I have your maiden name?

Because knowing a maiden name may provide information about someone's family ties or national origin, it opens you up to charges of discrimination. Likewise, you cannot ask for the name of a relative to contact in case of emergency. You may ask for a person to contact as long as you do not stipulate that the person be a relative.

Are you disabled? Do you have any medical problems? Have you ever filed for worker's compensation?

The 1992 Americans with Disabilities Act (ADA) prohibits job discrimination based on disabilities of any kind. The questions listed above are just a few examples. It is safest to assume that you cannot ask questions about a person's health or physical capabilities. What you may do is describe job responsibilities and ask the candidate if he/she is capable of performing the job functions "with or without accommodation."

Locals vs. Non-Locals

Where are your applicants from? Do you want locals? Or do you want outsiders? There are pros and cons to each. What if you don't have anyone locally with the proper skills and experiences? How long would it take to train them? Can you afford that?

Or, if you bring in a stranger, what will make them want to stay? How will they fit in the community? Where will they live?

One major advantage to hiring local talent, even if you need to spend a lot of money to train them, is that their families use the water. They have a stake in the community and the water they will protect. It will be easier to ensure they care and keep caring about the quality of their work. Plus, if they ever do leave town to work somewhere else, there is a very good chance they will return some day and still qualify to come back to their old job. A stranger who leaves is certainly less likely to return.

Also, local hires will spend much of their surplus income in the community, perhaps on building a better home or in supporting their family. This means their paycheck stays in the community. Workers who just consider themselves to be visiting might save their extra income to leave, thus taking it all with them.

Lesson 3

Instructor Tips

Ideas for Real Life Examples

- Give an example of a community that hired a water plant operator fresh from high school and trained her to do the job.

Potential Discussion Questions

- Why is it a good idea to promote from within if possible?
- Why would you want to keep unsolicited applications on file?
- Why might schools be a good place to look for potential employees?

Speaker Notes

TIME BAR (2 hours 20 minutes)

The advantages to out-of-town recruits include the following:

- They may be better suited to some positions, for example, collections.
- They may also bring in skills and education that can be passed on to co-workers or other local people.

Remember: what you are looking for first and foremost is the person who can do the job the best. If all other things are equal, these factors may help break a tie.

Next, we'll look at sources of employees. Effective recruiting requires you to know where and how to obtain qualified applicants. What are several sources of potential employees?

- Present employees: Whenever possible, current employees should be given first consideration for any job openings. This keeps moral high and gives employees a reason to keep working harder.
- Unsolicited applications: You should keep unsolicited applications of qualified applicants on file for future reference. You never know when you might have a position to fill. Treat all applicants courteously whether or not they are offered jobs.
- Schools: Graduating students are a good source of employees, especially if prior work experience is not important. Schools may also be a good source of part-time employees and apprentices. If you can plan ahead far enough, you might even be able to guide students into certain courses of study with the anticipation of a job when they're finished. An example might be plumbing.

On the other hand, out-of-town recruits may be better suited to some positions. Collecting bills, for example, or dealing with other agencies and businesses outside the community. Outsiders also may bring skills and education that can be passed on to local helpers or coworkers. Then, even if they do leave, you can have a new, local person ready to replace them.

What you are looking for first and foremost is the person who can do the job best. Depending on what level your utility is at, you may have no choice but to hire a stranger with the right certifications. If all other things are equal, these other factors might help break a tie.

Sources of Employees

Effective recruiting requires that you know where and how to obtain qualified applicants. It is difficult to generalize about the best source for your utility, but let's consider several major sources next:

Present employees

Promotion from within tends to keep employee morale high. Whenever possible, current employees should be given first consideration for any job openings. This practice signals your support of current employees and gives them a reason to keep trying hard at their work to impress you. Of course, once you promote one of your workers, you will still need to recruit someone new to take their old place at the utility.

Unsolicited applicants

As one of the few cash-paying employers in your town, you can expect the utility to receive many unsolicited applications from qualified and unqualified individuals. The former should be kept on file for future reference. Even if you think you have all positions filled, you never know if someone will leave unexpectedly. Good business practice suggests that all applicants be treated courteously whether or not they are offered jobs.

Schools

High schools, trade schools, vocational schools, colleges, and universities are good sources for certain types of employees, especially if prior work experience is not a major factor in the job specification. Schools in your area could also be excellent sources for part-time employees or apprentices. Most branch colleges or local high schools have employment centers or at least bulletin boards where they would be happy to post your job notices.

Lesson 3

Instructor Tips

References

Show a copy of a trade magazine that has a help wanted section.

Ideas for Real Life Examples

- Give an example as to how a public employment office can help screen candidates.

Potential Discussion Questions

- In what other places has your utility looked for employees?
- What methods of recruitment have worked best for your utility?

TIME BAR (2 hours 30 minutes)

Speaker Notes

- Public employment offices: While these may be located outside your community, local offices can provide organizations with applicants who have been screened on the basis of work experience, education, and some psychological testing.

- Private employment offices: These firms provide a service for employers and applicants by matching people to jobs in exchange for a fee. In a real emergency, this may be the best way to find immediate, highly trained help, but you will pay dearly for it.

- On-the-job training funds: The best place to start looking for on-the-job training funds is the Alaska Department of Labor and Workforce Development.

- Employee referrals: References from current employees may be a good source of candidates. Word of mouth is one of the most commonly used recruiting sources in small communities.

- Help wanted advertising: This can be as simple as a help wanted sign in the window that lets the public know the utility is hiring. More sophisticated methods include local media and newspapers.

- Specialty publications: This includes trade association magazines, newsletters, and Internet sites for professional organizations.

Public employment offices

Most likely, these are located outside of your community. The Employment Service of the U.S. Department of Labor works with state and local employment offices to provide no-cost brokerage of applicants who are seeking employment. Local offices will provide small organizations with applicants who have been screened on the basis of work experience, education, and some psychological testing. They may even help with finding training resources for your applicants. The State Employment offices in Alaska will post your positions (for free!) on Internet job boards, which can bring in qualified applications from all over the state, country, and even internationally.

Private employment agencies

These firms provide a service for employers and applicants by matching people to jobs in exchange for a fee. For highly qualified applicants in short supply, the employer sometimes pays the fee. In a real emergency, this may be the best way to find immediate, highly trained, certified, and qualified help—but you can count on it costing your organization dearly.

On-the-job training funds

You should also investigate if on-the-job training funds are available for your community. The best place to start looking is with the State of Alaska Department of Labor and Work Force Development.

Employee referrals

References by current employees may provide excellent prospects for the utility. Many current employees will hesitate to recommend people with below average ability because they don't want to have to work beside them or risk upsetting you when you mistakenly heed their advice. Word of mouth is one of the most commonly used recruiting sources in the utility community.

Help Wanted advertising

Letting the public know that the utility is hiring is a key element in recruiting potential employees. At its simplest, this type of advertising may take the form of a Help Wanted sign in the window. More sophisticated methods involve using local media (which could mean a community bulletin board or cable TV) or daily, weekly, and monthly newspapers. The classified pages of newspapers are frequently reviewed by active job seekers, including currently employed individuals who may be tempted by a more attractive position.

You can even consider advertising on radio and television. These tend to have a wider audience than the newspaper; however, the price of an advertisement may be much higher.

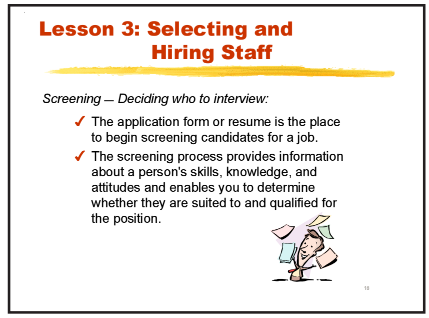
Specialty publications

Publications, such as trade association magazines and newsletters, may also produce quality job applicants. Another high-tech opportunity is to list positions on the Internet if you have local Internet access. Prices for help wanted advertising vary, and the utility manager should approach them with caution. A well placed, high-quality advertisement will attract good

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Have a volunteer read the case study.



Ideas for Real Life Examples

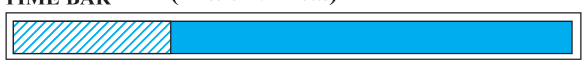
- Provide an example of an advertisement that was relatively inexpensive and well-placed that lead to a qualified candidate being hired for the position.

Potential Discussion Questions

- Do any of your utilities use job sharing?
- How is job sharing used?
- What other creative ideas for staffing your utility do you have?

Speaker Notes

TIME BAR (2 hours 40 minutes)



Explain that prices for help wanted advertising vary and that a well-placed, high quality advertisement may go farther than an expensive advertisement in the wrong medium. Ask around and learn what worked and didn't work for other utilities and small businesses.

Read and discuss case study. See Potential Discussion Questions for questions.

Hopefully after the recruitment period closes, you have a bunch of applications. What do you do next? You need to screen the applications for the applicant's skills, knowledge, and attitudes to determine if they are suited to and qualified for the job.

The screening process provides information about a person's skills, knowledge, and attitudes and enables you to determine whether they are suited to and qualified for the position.

The application form is the place to begin this process.

The application form is the place to begin screening candidates for a job. It provides information on the person's background and training and is the first means of comparing the applicant with the job description.

You will save yourself time if you only interview candidates who meet the minimum job requirements.

people; whereas, an expensive advertisement in the wrong medium may get no results. Some careful experimentation is worthwhile. Another suggestion is to ask other small business people in the area about their success with help wanted advertising. Learn from others' successes and mistakes.

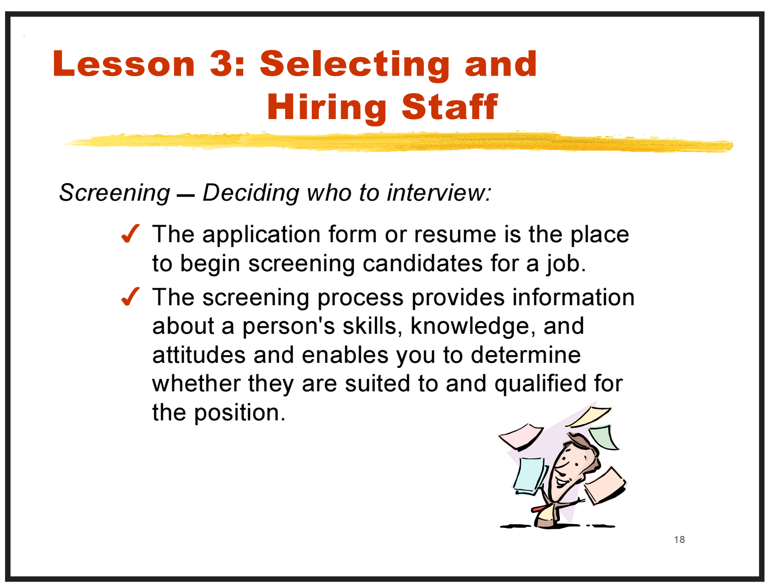
> Case Study
>
> Dealing with Subsistence and Staffing Issues Through Job Sharing
>
> "One community in the Bethel region was having trouble with finding workers. It was also having trouble with workers taking off to go hunting or fishing at certain times of the year. The community had traditional times for hunting and fishing, and the workers wanted to go to take care of their families.
>
> "They ended up trying something different. They hired two operators where the deal was that each would work half time; each had two weeks on and two weeks off. This way each would have a paycheck, which worked for them, and they still had two weeks to take care of their subsistence opportunities."

In cases like the one above, a manager that is willing to look at problems and be open to possibilities is at an advantage. When you look at recruitment issues, being flexible and creative in your personnel policy can help you attract the talent you need. It really is more of a hassle to have to manage and train two employees instead of one, but it can solve other problems at the same time, such as ensuring you have another person trained in case one person moves on.

The Screening and Interview Process
Screening — Deciding Who to Interview

Hopefully you have more applicants than you can possibly interview! You want enough of a pool to at least have several good prospects to interview. You do not have to interview everyone who applies. If your list is small enough, interview everyone. Otherwise, you must first narrow down your list to the best picks.

The screening process provides information about an person's skills, knowledge, and attitudes and enables you to determine whether they are suited to and qualified for the position. Hiring an overqualified person can be as harmful as hiring an under qualified person.



The application form or resume is the place to begin screening candidates for a job. It provides information on the person's background and training and is the first means of comparing the applicant with the job description. This will ensure that you don't waste time interviewing applicants who clearly do not meet the minimum requirements for the job.

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

- Give an example of an application that had unclear reasons for job changes, but the reasons were cleared up in the interview process.

Potential Discussion Questions

- What do you do if you get an application from a candidate who appears to be very qualified for the job, but has unexplained gaps in employment?
- Why should the candidate be able to speak freely during the interview?
- Why should you have a preprinted list of interview questions?
- Why should you take notes during the interview?

TIME BAR (3 hours)

Speaker Notes

How do you evaluate a job application? The application and resume should have the same information so you should look for consistency. There are other things that you don't want to see in an application or resume. These include the following:

- Unexplained gaps in employment dates- Gaps in employment might indicate that the candidate was either fired or laid off from their last job.
- Frequent job change
- Unclear reasons for job changes
- Unusual changes in job function or title

Tip: On your job application, you may want to provide a space for the applicant to explain why they left their former position. The applicant could also explain a change in job function or title if it occurred.

Exercise: Evaluating a Resume
Exercise: Resume Review

The second step in the screening process is the interview itself. This is when you learn more about the applicant.

Why do you want to interview potential candidates?
a. So you have face-to-face contact with them.
b. So you can observe their personal appearance.

The interview should be guided but not dominated by you. Remember: ask only questions that are directly related to the job. To keep you on track during the interview and to make sure you don't ask any illegal questions, you should devise a list of questions before the interview. They should be based on the job analysis and job description that you've already developed. Take notes of each candidate's response to you questions so you can assess their qualifications objectively and compare them to other applicants.

How to Evaluate a Job Application or Resume

The application or resume should contain much of the same information and consistency is one thing you should look for in the applicant. Here are some things you don't want to see:

- Are there any unexplained gaps in the dates? A month might be OK, but several months isn't.
- Has the applicant changed jobs frequently?
- What are the reasons for his or her job changes? Is it clear on the application or resume?
- Are there any unusual changes in job function or title? Is the explanation clear?

Gaps in employment might indicate that the candidate was either fired or laid off from his or her last job. A good application includes a question next to each job history that asks why a candidate left his or her former position. This is where the applicant would also explain a change in job function or title if it occurred.

The Interview

Finally, after all this, the Interview!

The personal interview is the second step in the screening process. During the interview, you learn more about the applicant through face-to-face contact, including observation of personal appearance. The interview should be guided, but not dominated, by you. It is important to let the candidate speak freely.

Ask questions that are directly related to the job. Before the interview, devise a list of questions based upon the job analysis and description. Note the answers during the interview so you can later assess the applicant's qualifications objectively and compare them to your other applicants. You may feel like you can remember everything they say, but you should take notes anyway. After you interview a few different people on a few different days, it is not strange to notice their answers blur together in your mind. Remember, your goal at this point is to gather information not just a feeling of whether you like the person, though that is important too.

Three major mistakes to avoid:

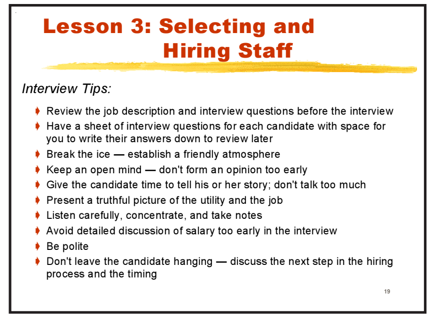
1. Failure to break down the job requirements in enough detail to generate logical questions.
2. Failure to ask candidates the right questions to determine their strengths and weaknesses and their fit with the job.
3. Over-reliance on gut reaction instead of fair evaluation of applicants based on measures established in the job specification.

Interviewing makes your selection process more personal and gives you an overall idea of whether the applicant is right for the job.

Lesson 3

Instructor Tips

- Cover slide with a piece of paper and reveal one at a time as you discuss each one



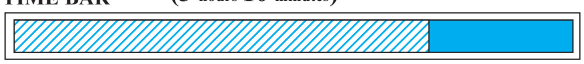
Ideas for Real Life Examples

- Give an example of a time when there were three qualified applicants for a job and the manager hired the candidate with the best recommendations, and it turned out the previous employer was trying to get rid of a problem employee.

Potential Discussion Questions

- See the discussion question in the speaker notes about four wrong reasons to hire a potential employee.
- Which one of the interview tips were used when you were hired?
- Which interview tip should have been used and wasn't?

TIME BAR (3 hours 10 minutes)



Speaker Notes

Let's look at some tips for maintaining focus during an interview:

- Review the job description and proposed interview questions before starting the interview
- Have a separate sheet of interview questions for each candidate and a space to write down answers
- Develop a time plan and stick to it
- Break the ice with each person and establish a friendly atmosphere
- Keep an open mind and don't form an opinion about the person too early
- Don't talk too much; give the candidate time to tell their story
- Be truthful about the picture of the utility and the job
- Listen carefully to what the candidate says and take lots of notes
- Don't discuss salary until you know you want to hire them
- Don't leave them hanging at the end of the interview; tell them when you'll let them know if they have or haven't been chosen

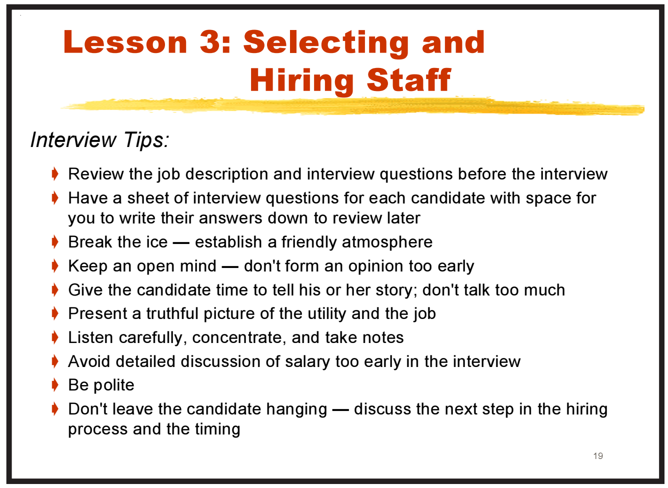
What do you do if you have three candidates that appear qualified for the job? How do you choose one? Most people do one of four things:

1. Hire the candidate with the best application or resume
2. Hire the candidate with the best recommendations
3. Hire the candidate they know because they know how to deal with that person
4. Hire the candidate they don't know because they won't be stuck with someone they know

Unfortunately, none of these reasons is a good reason to hire someone. Ask participants why none of these reasons is a good reason and facilitate a short discussion on this. So what do you do? The answer is on the next page!

Points to Ponder — Maintaining Focus during an Interview

Before starting any interview, go over the job description and interview questions you have decided to ask each person you interview. Have a sheet of questions for each person you interview with space to write each person's answers down so you can review them later. Develop an interview time plan and stick to it. Break the ice with each person and establish a friendly atmosphere. Keep an open mind; don't form an opinion about the person too early. Give the candidate time to tell his or her story. Don't talk too much. You should give a truthful picture of the utility and the job but don't go into a lot of detail. Listen carefully, concentrate, and take lots of notes on what the candidate says. Avoid detailed discussion of salary too early in the interview. It is okay to wait until you even know if you want to hire them to discuss the salary. Be polite to each candidate. Don't leave them hanging at the end of the interview. Tell them when you expect to make a decision about hiring and that you will let everyone know within one (or two or three) weeks if they have or haven't been chosen.



Let's suppose you are in the middle of an interview with someone who you don't know. You've read her application, and she has all the qualifications for the job. But then again, so do three other people. How can you distinguish between the good candidate and the so-so candidate? In short, how can you develop what is called "the talent to recognize talent" so you can hire the best candidate?

Don't feel alone if you are lost. Most people do not have this virtue. When faced with the prospect of hiring from a field of candidates, they usually do one of four things:

1. Hire the candidate with the best application or resume
2. Hire the candidate with the best recommendations
3. Hire the candidate they know—because at least they know how to deal with that person
4. Hire the candidate they don't know—because at least they won't be stuck with the personality traits of the person they do know

Unfortunately, all of these reasons are in error. Resumes and personal recommendations are often meaningless. Resumes can be 'inflated' to give people more credit than is deserved. Further, most resumes are edited for the job. The resume that you see has been carefully written to take maximum credit for any relevant experience, no matter how tiny. There may be many lies in the résumé as well. Resumes are rarely checked for accuracy by the interviewers so there is every incentive to s-t-r-e-t-c-h the truth.

Letters of recommendation are not much better. After all, who is going to submit a letter that says someone is a lazy, no-good clown and should not be hired? Worse, sometimes the candidate is so bad that the old employer *wants* to get rid of them. Is there an easier way to get rid of a bad employee without firing them than to let someone else hire them? Not really!

Hiring someone because you know their quirks and don't want to spend the time to 'get to know' a new someone is a bad way of doing business. It's like saying that you would prefer to drink sour milk because you know what it tastes like rather than breaking open a new carton to see if it's any better.

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

- Tell the story about an actual interview question that tested a person's ability to think "outside the box." An old friend, an old person needing medical attention, and a potential soul mate all need a ride and you can only pick up one person. Who would it be? Creative answer: give car to old friend and have them take the old person to the hospital while you stay behind with the potential soul mate.

Potential Discussion Questions

- Why is it important to ask open-ended questions and to have a good answer in mind as an ideal response?

Speaker Notes

TIME BAR (3 hours 20 minutes)

Ask open-ended questions to uncover potential talent. With open-ended questions, there are many possible answers to the same question. Each answer will reveal a candidate's strengths and weaknesses. Let's look at some examples. Review the three questions and possible answers on page 42 with the participants.

Exercise: Open-ended Questions

Write five open-ended questions you could ask in your next interview.
(No specific correct answers.)

There are other types of questions that you should be aware of. These include yes/no (where the only answer is a yes or no response), closed-ended (where only a one word response is required), leading (where the interviewer lets the interviewee know what response is expected of them), and empty (where no information about the candidate's qualifications is learned). Go over the exercise in the student manual and have the participants mark in their books which type of question each one is.

Ask open-ended questions during the interview to uncover potential talent.

What you are looking for is a new employee who has the talent to be a good employee, not just a good resume. There are many possible answers to the same question, and each answer will reveal an interviewee's strengths and weaknesses. This is an area not just of black and white or right and wrong; here there are many shades of gray. You want what is best for you and the rest of your team. Open-ended questions help you work towards that goal.

Here are some examples of open-ended questions:

1. "What would you do if you had to test the water for chlorine content, I was in the hospital, the regular employee who tests water is out of town, and you couldn't find any instructions laying around?"
   - ✔ You are looking for an answer based on creative thinking.
   - ✔ A good answer would be to see if you could track down one of the previous operators in your village or another operator in a nearby village and ask them for instructions. Another good answer would be to call the emergency number for a water utility in Fairbanks or Anchorage and ask them how to take a water sample and what to look for.
   - ✔ A bad answer would be to skip the test for a day until someone comes back who knows what to do.

2. "What would you do if the Mayor calls and demands to talk to me right away, and I'm out fishing and you know it."
   - ✔ A bad answer would be to tell a lie.
   - ✔ A good answer would be to tell the truth.
   - ✔ A better answer would be to reduce the Mayor's anger by asking what problem the Mayor wants solved and what the office manager can do to solve that problem.

3. "What would you do if I am out of town, and there is a major budgeting problem that will mean we will have a ten day delay in issuing paychecks?"
   - ✔ A bad answer is to write hot checks and request employees hold them for ten days.
   - ✔ A good answer is to do nothing and explain why the checks will be delayed.

The other types of questions are Yes-No, Close-ended, Leading, and Empty. In the space preceding each question, write the letter that identifies the kind of question.

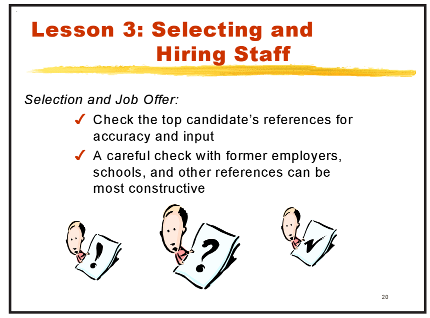
Y/N = Yes-No C=Close-ended L=Leading E=Empty

____ 1. You probably really enjoy working outside, don't you?
____ 2. So, it says here on your resume that you went to high school in Barrow. Didn't you hate the winters there?
____ 3. Have you always wanted to live in a rural area?
____ 4. How many computer courses have you taken?
____ 5. You wouldn't mind working overtime occasionally, would you?
____ 6. Have you finished all your Christmas shopping?
____ 7. How long did you work at the water treatment plant in Chicken Bay?
____ 8. Do you enjoy record keeping and accounting?
____ 9. There is a great deal of public contact in this job. How well do you relate to customers?

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

- Give an example of a manager who did a background check on a potential employee, hired the employee, and needed the information when an unforeseen problem came up.

Potential Discussion Questions

See Speakers Notes

Speaker Notes

TIME BAR **(3 hours 30 minutes)**

To wrap up this section, we talked about using open-ended questions to distinguish between qualified candidates. During the interview, you should keep in mind these two thoughts: does this person have talent and is this person reliable. What you are looking for is a person who has the ability to grow and who has common sense and dependability to do their job.

There are some other screening techniques that you can use, such as employment tests and physical examinations. These need to be done within the constraints we talked about earlier in Testing Candidates: A Legal Issue.

Exercise: Interview Script
Exercise: Interview Practice

Look back at the case study on page 25. **What is the last step before making the final selection to fill a vacant position? Check references.** It is the candidate's responsibility to provide you with references that will talk to you.

Why should you check the top candidate's references?

a. **Former employers know how they work**
b. **Protection in case of unforeseen problem or lawsuit**
c. **Proof you made a reasonable hiring decision**

There is a tendency of references to paint a good picture of the candidate. (This is why they were asked to be references!) However, it is still important to check with them to, at a minimum, see if the candidate was being truthful about their employment history. In addition, if you know of other people who have worked with the candidate, you are allowed to call them for references even if the candidate didn't provide you with their name or contact information.

Exercise: Developing Good Reference Questions

Finally, a word of caution about independent contractors. Don't make the mistake of trying to reduce payroll by hiring your workers as independent contractors. There are many laws and regulations defining the difference between an employee and a contractor.

The two most important thoughts to keep in mind during any interview are:

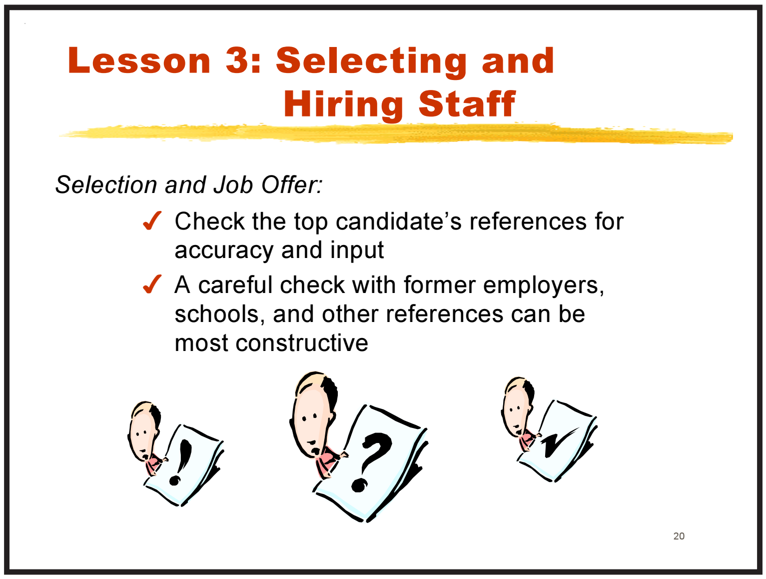
1. Does this person have talent?
2. Is this person reliable?

What you are looking for are individuals who have the ability to grow as well as the common sense and dependability to do their job. Good people are hard to find, but the search is worth the effort.

Other screening techniques include employment tests and physical examinations. Some employment tests measure aptitude, achievement, intelligence, personality, and honesty. A physical examination determines if the applicant meets the health standards and physical demands of the job.

Selection and Job Offer

If the screening process is thorough, selecting the best applicants for the job is easy. However, ***before making the final selection***, one last step should be taken: ***check the top candidate's references*** for accuracy and input. The candidate is responsible for providing references that will talk to you.



In a small community, everybody knows everybody else, but you should still make the effort to talk to former employers because:

- ❐ While everyone knows everyone, only their former employers know the inside story of how they work.
- ❐ It is important legally to have checked references, in case some unforeseen problem or lawsuit develops later.
- ❐ You need to prove you made a reasonable decision when you hired the person.

You should be aware of the tendency of references to give a rose-colored picture of applicant's character and ability. Despite this potential bias, a careful check with former employers, schools, and other references can be very helpful. At a minimum, checking can determine whether the applicant was truthful about his or her employment history. In addition, you can talk to other people that have worked with the candidate who may not have been listed as a reference.

Contractors

Some tasks at your utility may be accomplished by using independent contractors. These are people who act as separate business entities. Contractors are not on your actual payroll. Instead, they submit invoices, are paid lump sum amounts, and manage their own payroll, taxes, and benefits.

While you might use contractors for some work, the people you manage, your employees, are the ones we are discussing in this course. Don't make the mistake of trying to reduce expenses or responsibility by hiring your workers as "contractors." There are many laws and regulations defining the difference between an employee and a contractor.

Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

- Give an example of a community who didn't keep their personnel files in a secure location, an unauthorized person got into the file, got some confidential information about an employee he didn't like, and spread the information around the community.

Potential Discussion Questions

- Why do you need to keep personnel files?
- Why do you need to have more than one file folder on an employee?

TIME BAR (3 hours 40 minutes)

Speaker Notes

The IRS makes the final decision on whether an employee is an independent contractor or not. The general rule is that if a person works on their own property with their own tools, and if they are in charge of their own hours, then they may be an independent contractor.

Once you've made a decision to hire someone, you should start a personnel file. Even if the person you select turns you down, the personnel file will at least hold a copy of your offer letter. If the person accepts the job, you will need to establish an ongoing file that deals with all aspects of the employee's tenure at the utility. This includes the initial contract, references to pay and pay increases, vacation time earned, health and medical benefit information, emergency contact information, job performance and reprimands, and anything else appropriate for the file.

Also keep in mind that the personnel file is more than one physical file folder. Medical information and personnel actions are proprietary information and must be kept separate from other general personnel file information. These documents must be kept in a secure location, and only those authorized to view the material should have access to it.

State law protects all personnel files and their contents. Keep the files and personal information under lock and key.

For instance, if someone is being told to work regular hours on your property with your tools and your rules, that person is an employee. If they work on their property with their tools and they are in charge of their own hours, they *may* (or still may not) be hirable as an independent contractor. Again, contact your RUBA specialist or a State of Alaska Department of Labor and Workplace Development official with questions. Ultimately, the IRS makes this decision.

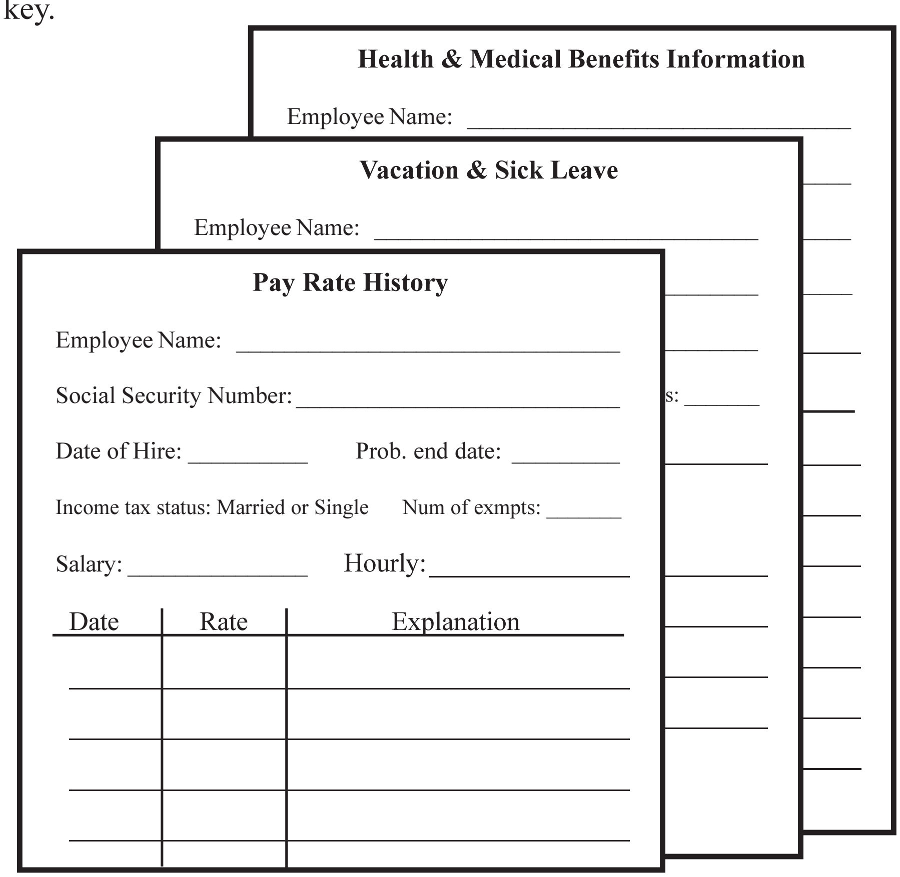
Personnel File

Once you have made the decision to hire an individual, you should start a personnel file. Even if the person you select turns you down, the personnel file will at least hold a copy of your letter offering the job.

Once the employee has accepted your offer, you must establish an ongoing file that deals with all aspects of the employee's tenure at the utility. In addition to the initial contract, it will also include all references to pay and pay increase, vacation time earned, health and medical benefit information, next of kin in case of an emergency, job performance and reprimands, and whatever else is appropriate for the file.

It is important to keep in mind that a personnel file can actually mean more than one physical document folder. By law, medical information must be proprietary (used exclusively on a need to know basis). Personnel action files must also be kept proprietary. All document folders should be kept in a secure location, and only those who are authorized to view the material should have access to the paperwork.

State law protects personnel files and their contents. Keep the files and the personal information on your employees under lock and key.



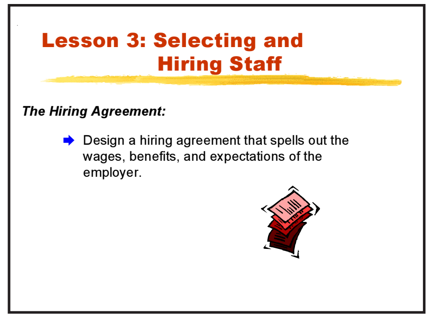
Lesson 3

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References

Sample hiring agreement



Ideas for Real Life Examples

- Give an example of a manager who hired someone without a hiring agreement and the new employee had different ideas and expectations from the manager.

Potential Discussion Questions

- Why are hiring agreements important?
- Why should the manager already have a hiring agreement template available for new hires?

TIME BAR (3 hours 50 minutes)

Speaker Notes

Employers are required to furnish a <u>written notice</u> at the time of hire that states the starting rate of pay, the day of pay, and the place of pay. This requirement is found in Alaska Statutes 23.05.160. Have a volunteer read the statute from the box in the student manual.

The best policy for a manager is to design a hiring agreement that spells out the wages, benefits, and expectations of the employer. Clear and concise written agreements can prevent future problems and complaints. The Alaska Department of Labor and Workforce Development Wage and Hour Administration can review your hiring agreement and suggest additions or changes if necessary.

What document should a manager develop that spells out wages, benefits, and expectations of the employer? <u>Hiring agreement</u>

Pass out sample hiring agreements or refer participants to a sample in the appendix.

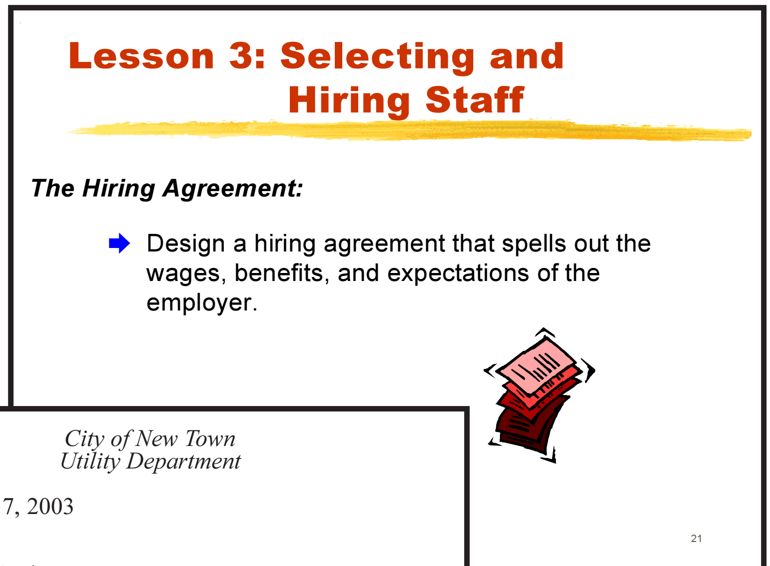
The Required Written Hiring Agreement

Many employers are astonished to find out that they are required to furnish a written notice at the time of hire stating the rate of pay, the day of pay, and the place of pay.

> Alaska Statute 23.05.160 states:
>
> "Notice of Wage Payments. An employer shall notify an employee in writing at the time of hiring of the day and place of payment, and the rate of pay, and of any change with respect to these items on the payday before the time of change. An employer may give this notice by posting a statement of the facts, and keeping it posted conspicuously at or near the place of work where the statement can be seen by each employee as the employee comes or goes to his place of work."

The best policy for a manager is to design a hiring agreement that spells out the wages, benefits, and expectations of the employer. This should be read and agreed upon in advance. Clear and concise written agreements, presented at the time of hire, can prevent future problems and complaints.

The Wage and Hour Administration, located in the Alaska Department of Labor and Workforce Development, is available to review a company's hiring agreement and suggest additions or changes if necessary. Written hiring agreements that spell out the expectations of both employer and employee are an excellent business practice. A clear understanding from the beginning results in savings of time, money, and workplace stress.



City of New Town
Utility Department

September 17, 2003

Mrs. Helen Atuk
PO Box 46
Small Village, AK 99789

Dear Mrs. Atuk:

I am pleased to offer you a full-time position with our utility as the Utility Clerk. Please report to the office on October 1, 2002 at 9:00 AM for your first day of work and orientation. Your hourly wage will be $9.25 and paychecks are distributed on the 15th and the last day of the month.

If this offer of employment is acceptable to you, please sign a copy of this letter and return it to me within 10 days.

Sincerely,

Richard J. Morrison
Utility Manager

I accept this job offer and will report on the date indicated.

Signature:_______________ Date: _________

Lesson 3

Instructor Tips

Ideas for Real Life Examples

Potential Discussion Questions

Speaker Notes

TIME BAR (4 hours)

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

Action Plan:

1. ______________________________

2. ______________________________

3. ______________________________

Lesson 4

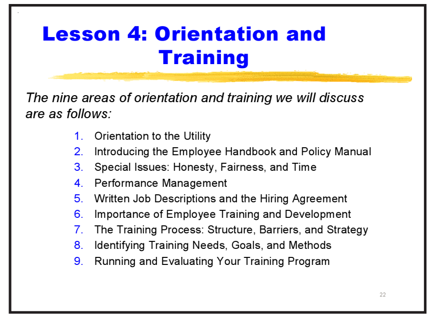
Instructor Tips

Lesson 4 will take 4 hours to complete.

- Don't spend too much time on the introduction.
- Remember that text in red represents a worksheet or test question.

References

Orientation checklist



Ideas for Real Life Examples

- Give an example of a community that orients new employees to their jobs, provides ongoing training to current employees, and has low employee turnover as a result.

Potential Discussion Questions

- Did you receive an orientation to your current job?
- If not, do you think it would have been helpful to you to have one?

TIME BAR (10 minutes)

Speaker Notes

Once a person is hired, they should receive an orientation to the utility. New and continuing employees will need ongoing training. The purpose of this lesson is to help you develop both an orientation and an ongoing training program. In addition to these topics, we will study some human management topics including integrity, time, and performance management.

Show the overview slide and briefly go over the topics.

Lesson 4: Orientation and Training

Overview of This Lesson

Once a person is hired, he or she should receive an orientation to the utility. This orientation includes a review of the general policies and of the specific nature of their job. Rules should be explained in detail, job expectations agreed upon, and any questions answered before the new employee begins work. New employees should be introduced to other employees and made to feel welcome.

Still, there is more to bringing in an employee than just showing them around and handing them some manuals. New and continuing employees alike will need ongoing training. Determining what training is needed and how to secure it will be an important part of your job as a personnel manager.

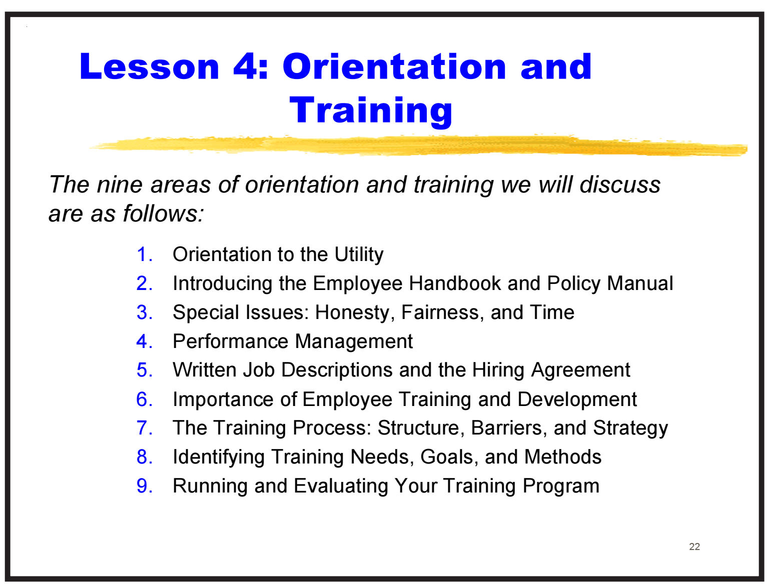
This lesson explains how to orient and train the people you have hired. Here we will address the characteristics of an effective personnel system.

We will study the human management part of your job. We will consider your role in dealing with important issues of integrity and time. We will introduce the concept of managing "performance" not just people and then get into the nitty-gritty of your written job descriptions and hiring agreements.

A lot of this lesson will be devoted to training your employees. Training is important for new hires, as without it they won't know how you do things. It is also crucial to maintaining and improving your utility, as your long-term workers have a need to grow and learn — just like your utility has a need to continually improve its service to your community. We will show you how to match these needs (worker and utility) together when designing a training program best for all.

The nine areas of orientation and training we will discuss, in order, are as follows:

1. Orientation to the Utility
2. Introducing the Employee Handbook and Policy Manual
3. Special Issues: Honesty, Fairness, and Time
4. Performance Management
5. Written Job Descriptions and the Hiring Agreement
6. Importance of Employee Training and Development
7. The Training Process: Structure, Barriers, and Strategy
8. Identifying Training Needs, Goals, and Methods
9. Running and Evaluating Your Training Program



Lesson 4

Instructor Tips

– Remember that text in red represents a worksheet or test question

References
Employee manuals and orientation checklists from other utilities, copies of management-related articles.

Ideas for Real Life Examples

- Give an example of an employee who didn't know what was involved in producing water until she came to work for the utility, and then she became a strong supporter of the utility in the community and encouraged customers to pay their bills.

Potential Discussion Questions

– Why do employees need information about technical aspects of the job; utility standards, expectations, and policies; and acceptable social behavior?
– How can reviewing what other utilities do to orient their new employees help you?

Speaker Notes

TIME BAR (20 minutes)

You need to introduce new employees to how things work at your utility, but you don't want to take a long time to do it. Topics to include in the orientation are based on the needs of the utility and the employees. Employees need specific information in three areas. **What three areas do new employees need specific information on?**

a. Technical aspects of the job **b. Utility standards, expectations, and policies** **c. Acceptable social behavior**

The first step in developing an orientation program is to identify essential utility-related information that needs to be passed onto the new employee. This can be done several ways including the following:

- Examining the employee manuals and orientation processes of other utilities
- Asking current employees what their information needs are and what would have helped them when they first started working for the utility.
- Conferring with a personnel consultant or RUBA staff at DCED
- Studying management-related books and articles

Next, go over topics suitable for new employee orientation. **List five topics suitable for new employee orientation.**

a. Welcome speech
b. Overview of the utility's funding, growth, trends, goals, priorities, and problems
c. Traditions, customs, norms, and standards in the workplace
d. Current specific functions of the utility
e. Products/services and description of customers served
f. Steps to get product/service to customers
g. Extent of the variety of utility activities
h. Organization, structure, and relations of utility to the village or tribal organization
i. Goals and current priorities
j. Chain of command
k. Facts about key staff
l. Community relations, expectations, and activities

Your new employee may have lived in your community for a long time drinking your water with little or no appreciation for what is involved in making it. The orientation gives you a chance to explain the history of treating water in your community, the general methods you use to treat it today, your intentions and goals for the future, and who else is involved and responsible for the entire process. It lets your employee understand where they will be fitting into the overall organization of your utility.

The next step is to go over basic rules that are covered in your personnel policies and procedure manuals.

Orientation to the Utility

You need to introduce your new employees to how things work at your utility, but you don't want to take a month to do it. The topics to include in new employee orientation are based on the needs of the utility and the employees. The utility is interested in producing safe water at low cost and in avoiding labor problems. Meanwhile, your employees need specific information in three areas:

1. Technical aspects of the job found in the job description
2. Utility standards, expectations, and policies found in the utility's policies and procedures
3. Accepted social behavior and approved conduct, a feeling for the work atmosphere in general, and introduction to fellow workers and supervisors.

The first step is identification of essential utility-related information. To help with selection of information you can:

- ✔ Examine the employee manuals and orientation processes of other utilities
- ✔ Ask current employees about their information needs and what would have helped them more when they first started working with the utility
- ✔ Confer with a personnel consultant or RUBA staff
- ✔ Study management-related books and articles

Overview of the Utility

The information in the following list is suitable for new employee orientation:

- Welcome speech
- Overview of the utility's funding, growth, trends, goals, priorities, and problems
- Traditions, customs, norms, and standards in the workplace
- Current specific functions of the utility
- Products/services and description of customers served
- Steps to get product/service to customers
- Extent of the variety of utility activities
- Organization, structure, and relationship of utility to the community or tribal organization
- Goals and current priorities
- Chain of command
- Facts about key staff
- Community relations, expectations, and activities

All of the above explains the inside story on your utility. Your new worker may have been drinking your water for years with no appreciation for what has been involved in making it. The orientation gives you a chance to explain the history of treating water in your community, the general methods you use to treat it today, your intentions and goals for the future, and who else is involved and responsible for the entire process. It lets your employee understand where they will be fitting in the overall story or context of your utility.

Next, you need to go over the basic rules of how particular management aspects work. This is the stuff covered by your personnel policies and procedures.

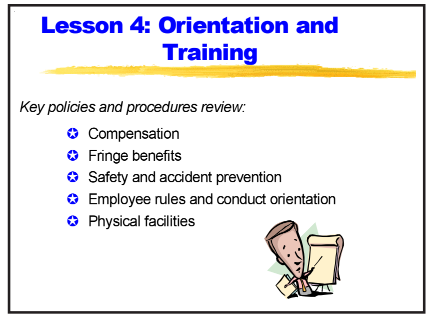
Lesson 4

Instructor Tips

- To prevent this section from becoming boring, have a participant read the list or just pick a few items from each list and talk about them in more detail

References

New Town Policies and Procedure manual



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Ideas for Real Life Examples

- Give an example of a new employee who received no orientation or policies and procedures manual and was angry when his first paycheck had more deductions than he knew about.

Potential Discussion Questions

- Why are pay and fringe benefits the most important policies to review with a new employee?
- Why is safety an important enough topic to be included in the orientation?

Speaker Notes

TIME BAR (30 minutes)

You need to review key policies and procedures with new employees. Probably the most important to new employees is pay and fringe benefits. You should also give a preliminary review of safety issues, job expectations, employee rules and conduct, and a tour of the physical facility. While you are going over this information, you should also point out to them the corresponding section in the policies and procedures manual for more information.

Topics dealing with compensation include the following:

- Pay rate and ranges
- Overtime
- Holiday pay
- Shift differential
- How pay is received
- Deductions: required and optional
- Deferred compensation
- Discounts
- Advances on pay
- Reimbursement for job or travel expenses

Fringe benefit topics include the following:

- Insurance
- Workers' compensation
- Holidays and vacations
- On-the-job training opportunities
- Subsistence leave
- Other leave: personal illness, family illness, funeral, maternity/paternity, military, jury duty, emergency, extended absence, family
- Other utility benefits and services to employees

Safety and accident prevention were discussed in Lesson 2. You won't cover every aspect of safety during the initial orientation session (let them know there will be ongoing safety training meetings), but you should at least cover the following topics:

- Emergency medical cards
- Health and first aid clinics
- Workplace safety precautions
- Hazards reporting
- Fires prevention and control
- Accident procedures and reporting

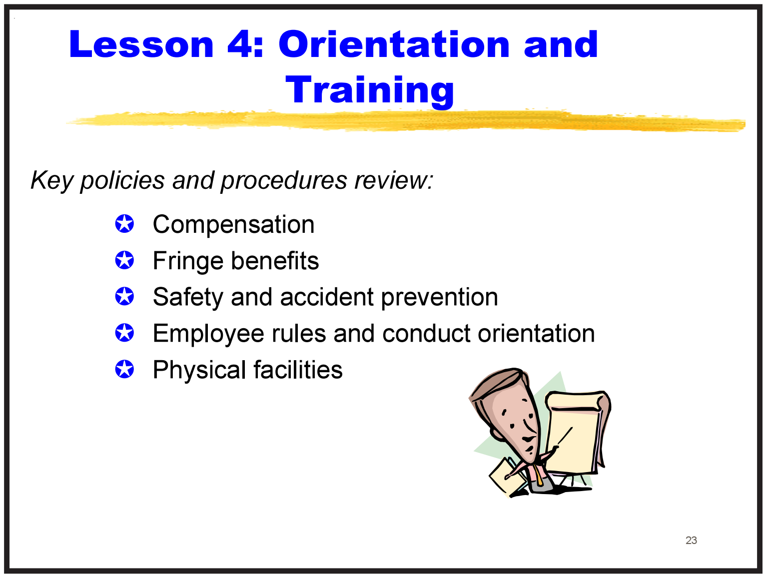
(This list is continued on the next page.)

Key policies and procedures review

Pay—how much and how it is given—is often the most important area that new employees need to understand. As nice as we hope your new employees will be, you can be sure a large part of why they will show up for work is for their paycheck and other compensation.

You will also want to give a preliminary review of safety issues, job expectations, employee rules and conduct expectations, as well as a tour of the physical facility. All of these issues are appropriate for a review at this time. Some of them we've already discussed, and others will be discussed later in this course. In all cases, you at least want to let them know the basic details and point out the corresponding sections in the policies and procedure manual for their review.

Compensation



- Pay rates and ranges
- Overtime
- Holiday pay
- Shift differential
- How pay is received
- Deductions: required and optional
- Deferred compensation
- Discounts
- Advances on pay
- Reimbursement for job or travel expenses

Fringe benefits

- Insurance
- Workers' compensation
- Holidays and vacations
- On-the-job training opportunities
- Subsistence leave
- Other leave: personal illness, family illness, funeral, maternity/paternity, military, jury duty, emergency, extended absence, family
- Other utility benefits and services to employees

Safety and accident prevention

We covered your safety program in Lesson 2. Safety is a constant, ongoing concern. You won't cover every aspect of safety during your initial orientation process. It would be too much, but you at least want to discuss each of the following and let them know what you will be doing to keep addressing these areas as their orientation and training continues.

- Completion of emergency medical data card — who to call in an emergency
- Health and first aid clinics — where to go for help
- Workplace safety precautions — what not to touch
- Reporting of hazards — who needs to know what and when
- Fire prevention and control — what to do in the event of an emergency
- Accident procedures and reporting — how to report an accident

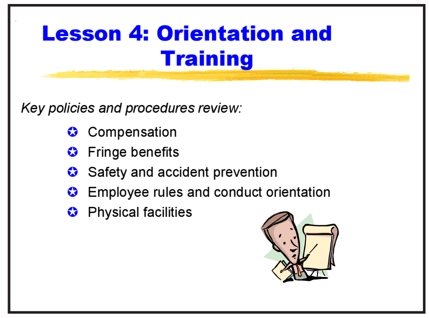
Lesson 4

Instructor Tips

- To prevent this section from becoming boring, have a participant read the list or just pick a few items from each list and talk about them in more detail.

References

New Town Policies and Procedure manual



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Ideas for Real Life Examples

- Give an example of an employee who would drive his car to another town on city business and fill up his car with gas and charge it to the city instead of claiming miles or using the city vehicle and explain how having policies in place can prevent this.

Potential Discussion Questions

- Why is it important to review key employee rules and conduct when it's already written in the policies and procedures manual?

Speaker Notes

TIME BAR **(40 minutes)**

- OSHA requirements
- Physical exam requirements
- Alcohol and drugs use on the job
- Sanitation and cleanliness on the job
- Safety equipment, badges, and uniforms

Next on the list is employee rules and conduct. All this information should be in the personnel policies and procedures manual. Again, it is a good idea to review key points with the new employee and refer them to specific sections in the policies and procedures manual for more details. Topics that should be covered here include the following (a longer list can be found in the student manual):

- Detailed explanation of job based on current job description and expected results
- Explanation of why the job is important and how the specific job relates to others in the department and company
- Discussion of common problems and how to avoid and overcome them
- Performance standards and the basis of performance evaluation
- Number of daily work hours and time

- OSHA requirements (review of key sections)
- Physical exam requirements
- Use of alcohol and drugs on the job — it can not and will not be tolerated
- Sanitation and cleanliness
- Wearing of safety equipment, badges, and uniforms

Employee rules and conduct orientation

This section of the orientation is where you review the longer-term aspects of employment. Most of this they can read about in the policy manual; however, it is good to at least review the following areas in order of their importance for your utility. As with all the other sections, ask if they have any questions about any of these areas.

- Detailed explanation of job based on current job description and expected results
- Explanation of why the job is important and how the specific job relates to others in the department and company
- Discussion of common problems and how to avoid and overcome them
- Performance standards and basis of performance evaluation
- Number of daily work hours and time
- Overtime needs
- Extra duty assignments (such as changing duties to cover for an absent worker)
- Time clock and time sheets
- Break periods
- Lunch duration and time
- Making and receiving personal telephone calls
- Required records and reports
- Explanation of where and how to get tools and have equipment maintained and repaired
- Types of assistance available: when and how to ask for help
- Relations with state and federal agencies
- Assignment, reassignment, and promotion
- Probationary period and expected on-the-job conduct
- Reporting of sickness and lateness to work
- Employee rights and responsibilities
- Manager and supervisor rights
- Employee organizations and options
- Content and examination of personnel record
- Communications: utility channels of communication, suggestion system, posting bulletins
- Handling of rumors
- Bringing personal property to work
- Removing utility property from the workplace
- Gambling
- Relations with outside people
- Discipline and reprimands
- Grievance procedures
- Termination of employment (resignation, layoff, discharge, retirement)

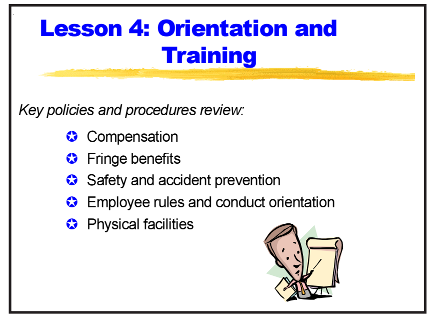
Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References

New Town Policies and Procedure manual



Ideas for Real Life Examples

- Give an example of a utility that hands out policies and procedures manuals and has employees sign an acknowledgment form and explain how that helped the city win a lawsuit.

Potential Discussion Questions

- Why is it a good idea to give a new employee a walking tour of the facilities?
- Did you sign an acknowledgement form for your utility's policies and procedures manual when you first started your job?
- Why should you have an employee sign an acknowledgement form for the personnel policies and procedures manual?

TIME BAR (1 hour)

Speaker Notes

When it appears your new employee is getting restless with all the new information, give them a tour of the facility. People need to know where they are, and a tour of the facility is a great way to introduce them to the utility and some of the topics mentioned in previous sections. The tour can include the following:

- Tour of the facilities
- Stages of water treatment
- Employee entrances
- Emergency exits, shut-offs, etc.
- Restricted areas within the facility
- Telephone/ radios
- Parking
- First aid kits
- Supplies and equipment
- Rest rooms, showers, and sanitation
- Fire alarm box and fire extinguishers
- Time clocks
- Lockers and break rooms
- Water fountains and coffee areas
- Supervisor's office
- Nonsmoking and smoking areas

We talked earlier about key policies and procedures that should be reviewed with new employees during the orientation. You can now hand them a hard copy of the manual. You should have the employee sign an acknowledgement form that they received a copy of the manual. A sample acknowledgement form is found on this page.

Yes or No Should employees be required to sign an acknowledgement form that they have received the employee policies and procedures manual? Why or why not?

Exercise- Employee Orientation.

Physical facilities

As with any long, drawn-out learning process, it is good to get the blood flowing by walking around a bit. When you sense you or your new employee is getting restless with all the new information, stand up and give them a tour. People need to know where they are and touring the facility as you talk is a great way to introduce some of the topics listed in the other sections above. It will also help keep them awake. This tour can include:

- Tour of facilities
- Stages of water treatment
- Employee entrances
- Emergency exits, shut-offs, etc.
- Restricted areas within the facility
- Telephone/radios
- Parking
- First aid kits

- Supplies and equipment
- Rest rooms, showers, and sanitation
- Fire alarm box and fire extinguishers
- Time clocks
- Lockers and break rooms
- Water fountains and coffee areas
- Supervisor's office
- Nonsmoking and smoking areas

Now you have given your new employee an overview of what you expect from them and what they can expect from you. You've given them a tour of your utility. You've shown them the policies and procedures manual and reviewed major safety priorities with them. They are ready to begin work. Right? No, they need some time to read the policies and procedures manual, ask questions if they don't understand something, and fill out all the paperwork that goes with their new job. As part of the paperwork you should have them sign an acknowledgment form for the policies and procedures manual.

Acknowledgment Form

I have received the Employee Handbook and Policies and Procedures Manual. I agree to read it and ask any questions by ______, 20__ (2 weeks from date signed below)

Employee name:________________________

Employee signature:______________________
Date: ____________

I have read and understand the material provided to me. Any questions I had have been answered.

Employee name:________________________

Employee signature:______________________
Date: ____________

Acknowledgment Form

I have received the Employee Handbook and Policies and Procedures Manual. I agree to read it and ask any questions by Sept 9, 2003 (2 weeks from date signed below)

Employee name: Judy Hargis

Employee signature: Judy Hargis
Date: 08/25/03

I have read and understand the material provided to me. Any questions I had have been answered.

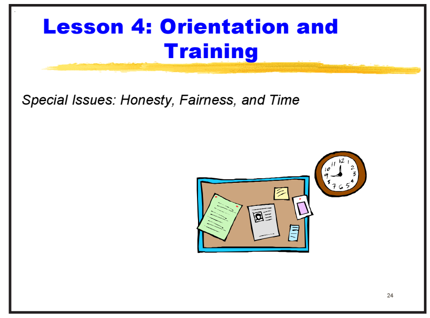
Employee name: Judy Hargis

Employee signature: Judy Hargis
Date: 09/09/03

Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.



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Ideas for Real Life Examples

- Give an example of a manager who didn't like to share information with his employees, and as a result, the utility had low morale and high turnover.

Potential Discussion Questions

– Why is honesty an important management challenge?
– Why does lack of information tend to breed suspicion?

TIME BAR (1 hour 10 minutes)

Speaker Notes

Your new employee should be ready for a break about now to digest all this new information. So before we get into the details of creating a training program, we'll take a break and talk about three important management challenges for utility managers in a small community. These issues are honesty, fairness, and time.

First, let's look at honesty. As everyone knows, secrecy breeds suspicion. In order to allow the employees to care as much about the utility as you do, you have to provide them with information. The example in the student manual talks about a study of small organizations that found employees tend to underestimate costs by sizable amounts. When the true cost information is shared with your staff, some of them are likely to begin valuable cost saving measures voluntarily. As a side note, this may be true with some of your utility customers. Most customers don't know how much it costs to provide your service to them. Once they understand the true costs, they may be more willing to pay their bills.

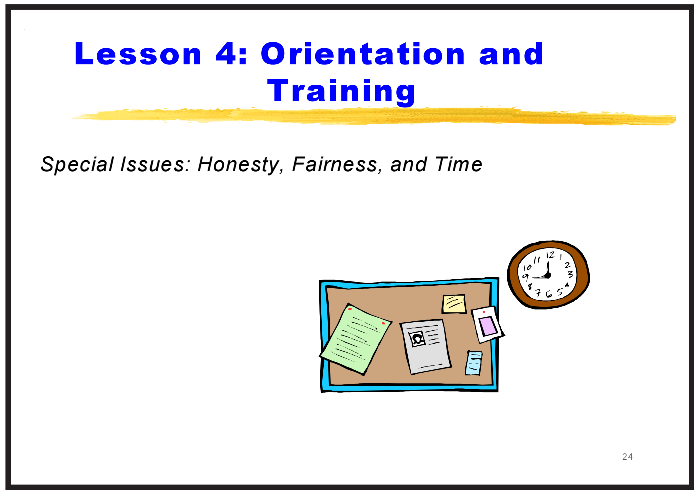
If you don't know how much information to share with employees, experience indicates that too much is better than too little. And never lie to employees about anything. Institutional memory is long! **What are some suggestions for effectively communicating with your employees?**

- **Take time to talk with your employees one-on-one and at staff meetings**
- **Ask what they are thinking and listen actively**
- **Find out what they'd like to know and tell them when possible**
- **Don't just tell the good things**
- **Give your staff an opportunity to share information, questions, and suggestions**
- **Create a comment/ suggestion box so workers can share their thoughts anonymously**
- **Write things down and post them in plain sight**

Your new employee should now be ready to take a break and take some time to digest all the information you've given them before you begin the actual training process. You are used to how everything works at your utility, so it may not seem like such a big deal to you, but to someone who is new to it, all this information is a lot to digest. Just like when they eat a huge meal, people must be allowed time to digest everything before giving them more.

Before we get into the complex issues of your training program, lets take a break from all the details and focus ourselves on three more general but very important management challenges for you as a manager in a small community. These are the issues of honesty, fairness, and time.

Special Issues: Honesty, Fairness, and Time



Honesty

Secrecy breeds suspicion. Whenever information is held back, the story behind it becomes open to misunderstanding. You want your employees to care as much about the success of the utility as you. For example, studies of small organizations indicate that employees tend to underestimate costs by sizable amounts. When true cost information is shared with your staff, some of them are likely to begin valuable cost savings voluntarily.

If you don't know how much information to share with employees, experience indicates that too much is better than too little. Never lie to workers about human relation issues (or anything else for that matter). Institutional memory is long; deceit will be remembered for many years. Remember that people talk with each other and inconsistencies will be quickly noticed and brought up—frequently to your embarrassment. Here are suggestions on how to avoid this dilemma:

- ✔ Take time to talk with your workers one-on-one and at staff meetings.
- ✔ Ask what they are thinking and listen actively.
- ✔ Find out what they'd like to know and whenever possible tell them.
- ✔ Don't tell just the good things.
- ✔ Give your staff an opportunity to share information, questions, and suggestions with you. In this way, communications are two ways.
- ✔ Create a comment/suggestion box so workers (and others in the community) can share their thoughts anonymously. Sometimes they will feel safer telling you what they really think if they can remain anonymous. Even if you think you know who made the comment, allow them the illusion of being unnamed unless you absolutely can't.
- ✔ Sometimes it is best to write things down and post them in plain sight.

Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.

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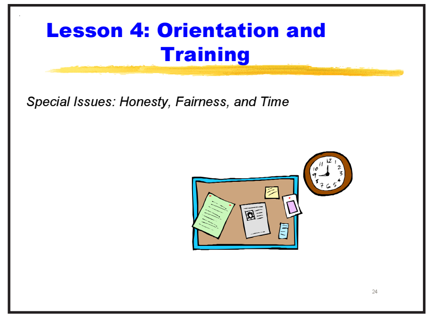


Ideas for Real Life Examples

- Give an example of employee morale improving when the new manager instituted monthly staff meetings.

Potential Discussion Questions

- Why do we talk about communication in both the honesty and fairness sections?

Speaker Notes

TIME BAR (1 hour 20 minutes)

The next topic is fairness. Fairness ranges from consistency in personnel actions and practices to adherence to the various laws that govern the workplace. An organization needs to follow its own rules and policies. **Employees must be treated the <u>same</u> when it comes to personnel issues.**

The key to healthy work relations is managing communications within the utility. Communicating includes informing people of where they stand, how the utility is doing, and what future plans are being developed. Positive feedback should be the principle tool for creating good human relations. Some practical human-relations approaches to stimulate two-way communication include the following:

- Regular performance review sessions
- Bulletin boards
- Suggestions boxes
- Regular open meetings

Fairness

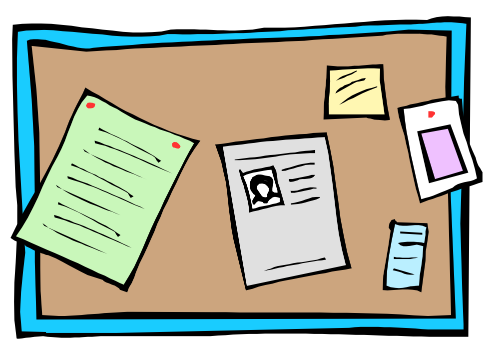
Fairness ranges from consistency in personnel actions and practices to adherence to the various laws governing the workplace. The concept of due process requires that an organization follow its own rules and policies. Employees must be treated the same when it comes to personnel issues.

Each worker should have an equal chance to perform at his or her best. Decisions concerning rewards, promotions, and advancements should always be based on performance, and good performance should be spelled out in the job description. When achievement is equal among employees, seniority can be used to break ties.

The key to healthy work relations is managing communications within the utility. Most of the communication will flow as orders and instructions to employees. Nevertheless, communication, honesty, and fairness are two-way processes. It is difficult for employees to be intelligent and enthusiastic team-workers if the reasons behind orders and instructions are unknown. Even more important is giving employees the freedom to contribute ideas and opinions before you make a decision. This adds dignity and meaning to the job in the eyes of most employees and their families.

Communicating includes informing people of where they stand, how the utility is doing, and what future plans are being developed. Negative feedback may be necessary at times, but positive feedback should be the principal tool for creating good human relations. Never forget that employees are people; they will quickly detect insincerity. They also will respond favorably to sincere efforts to treat them as grown-up, capable adults. Some practical human-relations approaches to stimulate two-way communications include:

- ✔ Regular performance review sessions (every three to four months)
- ✔ Bulletin boards
- ✔ Suggestion boxes
- ✔ Regular open meetings (consider inviting the council and community from time to time)



Lesson 4

Instructor Tips

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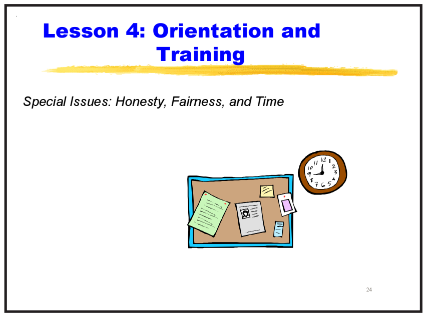

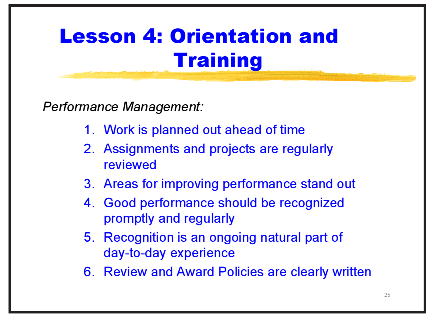

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Ideas for Real Life Examples

- Give an example of a manager that was able to get her employees to "buy into" the idea that they need to be on time to work so that the water was tested as scheduled and office staff were available to customers during posted office hours.

Potential Discussion Questions

- Why is it important for employees to be on time to work?
- Why is it important to let the manager know ahead of time that an employee won't be at work instead of calling in sick 2 hours after they're supposed to be at work?
- Why does a manager need to worry about performance management?

TIME BAR (1 hour 30 minutes)

Speaker Notes

The last special topic is Time: Attendance and Punctuality. People showing up late or not at all place a burden on everyone else. In addition, most sanitation systems are designed with time as one of the measurements. Chlorine and other chemicals need to be tested and adjusted at regular intervals.

This means you as the manager need to be able to schedule your staff and count on them to be there to do their job on a regular, dependable schedule. So how do you go about convincing employees it's important to be on time without being a jerk about it?

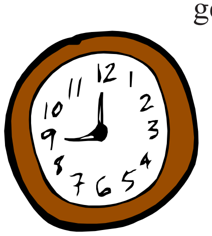
How can a good manager get employees to arrive at work on time?
a. Have a clear, written policy
b. Get employees to "buy into" the importance of being on time
c. Set a good example yourself by being on time

You should make it clear to employees that in the rare instances when your staff can't avoid being late or are unable to work as scheduled, they need to notify you as soon as possible, preferably in advance. Also because the health and safety of your community is at stake, make it clear that both poor attendance and excessive tardiness will lead to disciplinary action up to and including termination.

The next section is performance management. Performance management is the constant process of involving your staff in improving the accomplishment of your utility's mission and goals. It means getting into the habits that will help you do your best job.

Time: Attendance and Punctuality

People showing up late, or not at all, place a burden on everyone else. Modern sanitation methods were designed with time as one of the measurements. As you've learned, chlorine and other chemical levels need to be tested and adjusted at regular intervals to keep people from getting sick. The community needs to be able to count on your service and to be able to reach you with problems at regular times.



This means you, as a manager, need to be able to schedule your staff and count on them to be there to do their job on a regular, dependable schedule. Otherwise, you have to be there all the time, just in case they aren't.

Okay, you probably don't want to be a jerk about time—getting on your workers for being a minute or two late. But where do you draw the line between being on-time and being late? How do you set limits?

You do this by having a clear, written policy. Work with your employees to figure out how important timeliness (or lateness) is to your utility. Let them see that the reason you are setting these policies is not to be some factory boss; it is to make sure the water is safe for your community! If any one of them doesn't show up and do their as scheduled, people are going to get sick, and you will all be to blame.

Make it clear that in the rare instances when your staff cannot avoid being late or are unable to work as scheduled, they should notify you as soon as possible in advance of the anticipated lateness or absence.

Because the safety of your community is at stake, both poor attendance and excessive tardiness should lead to disciplinary action, up to and including termination of employment.

As a manager you should, by example and policy, make it clear that punctuality is a matter of great importance and that lack of attendance will lead to disciplinary action.

Performance Management

Performance Management is the constant process of involving your staff in improving the accomplishment of your utility's mission and goals. That may be a mouthful, but the point is that by working with your staff, you can ensure your utility does its job: delivering clean, safe water to your community. Performance management means getting into the habits that will help you do your best job.

Lesson 4: Orientation and Training

Performance Management:

1. Work is planned out ahead of time
2. Assignments and projects are regularly reviewed
3. Areas for improving performance stand out
4. Good performance should be recognized promptly and regularly
5. Recognition is an ongoing natural part of day-to-day experience
6. Review and Award Policies are clearly written

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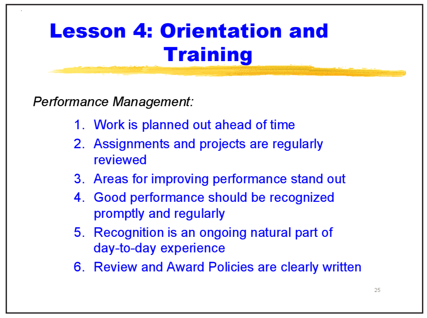
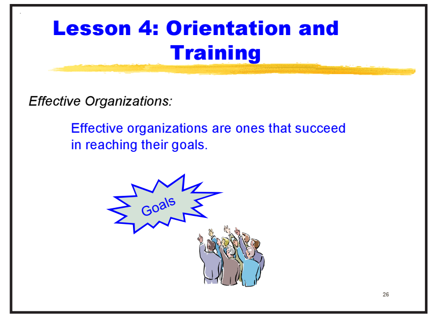
Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.





Ideas for Real Life Examples

- Give an example of a utility that practices good performance management and the resulting view of the utility in the community.

Potential Discussion Questions

- Why do small organizations need to worry about good performance management?
- How can good performance management make a difference in a small utility?
- Is good performance management an effective use of your limited time?

TIME BAR (1 hour 40 minutes)

Speaker Notes

List the elements of good performance management.

a. Work is planned out ahead of time
b. Assignments and projects are regularly reviewed
c. Areas for improving performance stand out
d. Good performance is recognized promptly and regularly
e. Recognition is part of day-to-day experience
f. Clear written review and awards policies

Let's look at these items in detail. In an effective organization, work is planned out ahead of time. This means setting goals and expectations for people to focus their efforts towards achieving organizational objectives. It is a good idea to involve your employees so that they can understand the goals of the utility: what needs to be done, why it needs to be done, and how it needs to be done.

Assignments and projects are regularly reviewed. By keeping your overall long-term goals in mind, you can see if the work your are currently doing is moving you towards you goals. A key to meeting those goals is to pay attention to your workers and provide them with regular comments on their progress.

When you plan and oversee the work, weaknesses in your staff's performance become noticeable and can be dealt with. Think about these weaknesses in terms of employee growth and training needs. Areas for improving good performance stand out, and action can be taken to help successful employees improve even further.

Good performance should be recognized promptly and regularly. The easiest way to avoid problems in the first place is to notice and encourage good behavior.

Recognition is an on-going, day-to-day experience. It can be as simple as saying "thank you." This type of reward for good performance doesn't require any specific regulatory authority. It's as simple as letting the other person know you see them and are glad for their efforts.

Lastly, you should have clearly written review and awards policies. There are many kinds of formal rewards, such as cash bonuses, training, special recognition, time off, and many non-monetary items. Be creative! When you write your policies and procedures manual, consider adding specific policies addressing rewards, not just disciplinary procedures.

The next topic is effective organizations. You've heard us talk about effective organizations. Ask participants "What is an effective organization?" Effective organizations are ones that succeed in reaching their goals. Ask "What could be some goals for a utility?" These can be as simple as clean water, an accident-free workplace, or smooth operations. In effective organizations, managers and employees practice the elements of good performance management that we just talked about.

In an effective organization, work is planned out ahead of time. Planning means setting goals and expectations for people to channel their efforts toward achieving organizational objectives. Involving your employees in the planning process will help them understand the goals of your utility: what needs to be done, why it needs to be done, and how well it should be done.

In an effective group, assignments and projects are regularly reviewed. By trying to keep the big picture in mind—your overall long-term goals—you can see if the work of the moment is getting you there. Paying attention to your workers and providing them with regular comments on their progress is a key to meeting those goals.

When you plan and oversee the work, weaknesses in your staff's job performance become noticeable and can be dealt with. You should think about these weaknesses in terms of your employee growth and training needs. Areas for improving good performance also stand out, and action can be taken to help successful employees improve even further.

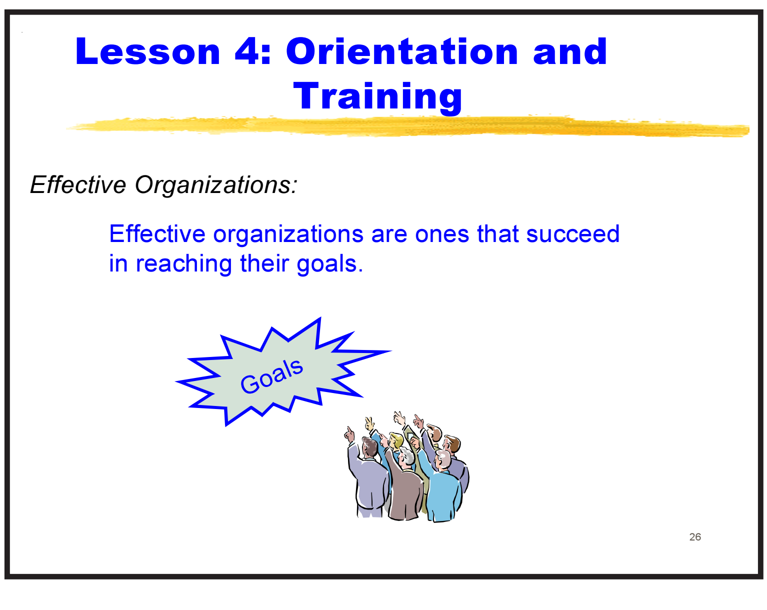
Good performance should be recognized promptly and regularly. There is a saying, "*the squeaky wheel gets the grease*," meaning that those with loudest problems get most of the attention. But the easiest way to avoid problems in the first place is to notice and encourage non-"squeaky" behavior. If you keep the wheels greased in the first place, they never will get to the point where they have to squeak or, even worse, grind to a halt.

Recognition is an ongoing, natural part of day-to-day experience. Many of the actions that reward good performance — like saying "*thank you*" — don't require a specific regulatory authority. It is as simple as letting the other person know you see them and are glad for their efforts.

Still, you can go even further than those on-the-spot moments of praise by having clearly written review and awards policies. You can provide many kinds of more formal rewards, such as cash bonuses, training, special recognition, time off, and many nonmonetary items. Be creative! When you work on your own policies and procedures manual, consider adding specific policies addressing rewards, in addition to disciplinary procedures.

Effective Organizations

"Effective organizations." You will hear this phrase repeatedly in this course. *Effective organizations* are ones that succeed in reaching their goals. Clean water. An accident-free workplace. Smooth operations. These are the sorts of goals you are aiming for.



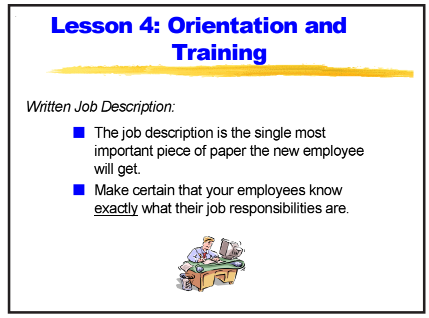
In effective organizations, managers and employees practice good performance management naturally all their lives. Goals are set and work is planned routinely. Progress toward

Lesson 4

Instructor Tips

References

Written job descriptions, sample evaluation form based on job descriptions



Ideas for Real Life Examples

- Give an example of a utility that recognizes outstanding employees with awards and has minimal personnel problems as a result.

Potential Discussion Questions

- Why is the job description so important?
- Why is it important for the job description to be kept up-to-date?
- Why is it important for employee evaluations to be based on the job description?

TIME BAR (2 hours)

Speaker Notes

Getting back to employee orientation, we will again talk about the written job description. This is the single most important piece of paper that the new employee will get. It tells the employee what they are expected to do and gives the supervisor a means of evaluating the employee. Don't downplay the importance of the job description when you give it to the new employee.

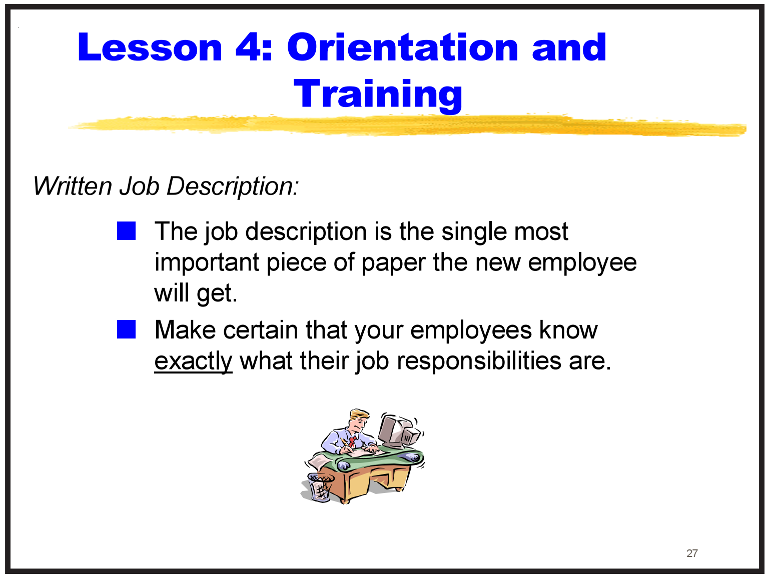
No matter what your supervisory style is, make certain that your employees know exactly what their job responsibilities are. Make sure your staff knows that you will do regular, written performance reviews and that their raises or discipline will be based on these reviews.

At every work performance review with an employee, you should start with rereading the job description. If it doesn't match what they do, change it. Work with them to see if you and they think they are doing all the work required of them in their job. If not, review what is stopping them and work with them on how to do better in the future. Or if they are doing all the work required of them in their job, discuss how you may reward them for their extra effort. One way to do this is to offer awards or medals for exceptional service. These can be displayed in public places for everyone to see. This type of recognition doesn't cost much, but it can really make your workers feel proud of a job well done.

those goals is measured, and employees get feedback. High standards are set, but care is also taken to develop the training and skills needed to reach them. Formal and informal rewards are used to recognize the behavior and results that accomplish the mission.

Written Job Descriptions

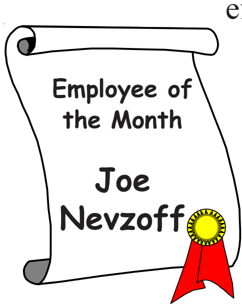
Far too often someone is hired and given a job description. Usually this is a piece of paper that is given to the new hire with 30 other pieces of paper, some to be filled out and some to be read. The new employee usually looks over the job description – once – and then promptly forgets it. Often the supervisor unintentionally down plays the importance of the job description. Saying something like "This is your official job description" often translates as "Here's another stupid piece of paper I have to give you because the lawyer says I have to."



Yet the job description is the single most important piece of paper the new employee will get. Not only does it tell the new employee what he/she is expected to do; it also gives the supervisor a means of evaluating the employee.

Whether your supervisory style is indirect or hands-on, make certain that your employees know *exactly* what their job responsibilities are. Don't wait until there is a problem to do something about it. Make sure your staff knows you will offer regular, written performance reviews—and that their raises (or discipline) will be based upon these reviews. This will give them an extra reason to keep trying their best, instead of falling into bad habits.

At every work performance review with an employee, you should start with re-reading the job description. If the written job description does not match what they really do, change the job description. Then work with them to see if you and they think they are doing all the work required of them in their job. If not, review what is stopping them and work with them to plan how to do better in the future. Or if they are, you can talk about what they are doing right that goes beyond their job requirements and discuss how you might reward them for their extra effort.

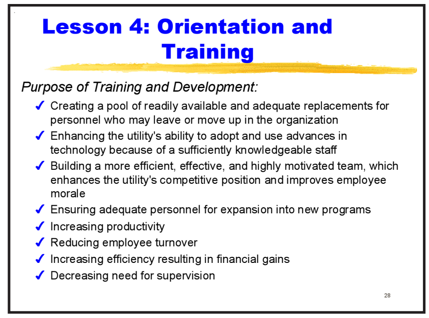


One simple way to do this is to offer awards or medals honoring your staff for exceptional service. You can display these awards in a noticeable place on the walls of the office or the community center and let the local newspapers know as well so they can post such awards for everyone to see. This doesn't cost much more than some time, but it can really make your workers feel proud of a job well done.

Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

- Give an example of a utility that is successful because it provides training for its employees.

Potential Discussion Questions

- Why do current employees need training?
- How can employees develop a greater sense of self-worth, dignity, and well-being through training?
- How can this contribute to a well-run utility?

TIME BAR (2 hours 10 minutes)

Speaker Notes

Major factors in the long-term success of a small utility are the quality of employees and their development through training and education. If you take the time to hire good employees, it is a good idea to invest in the development of their skills so they can increase their productivity. Don't make the mistake of thinking that training is only for new employees. Ongoing training is necessary to help current employees adjust to rapidly changing job requirements.

Give some reasons why you should have a training program for the growth and development of all employees.

a. **Creating a pool of readily available and adequate replacements**
b. **Enhancing the utility's ability to adopt and use advances in technology**
c. **Building a more efficient, effective, and highly motivated team**
d. **Ensuring adequate personnel for expansion into new programs**
e. **Increasing productivity**
f. **Reducing employee turnover**
g. **Increasing efficiency resulting in financial gains**
h. **Decreasing need for supervision**

Remember, employees frequently develop a greater sense of self-worth, dignity, and well-being as they become more valuable to the utility and to their community.

Importance of Employee Training and Development

An Effective Training Program

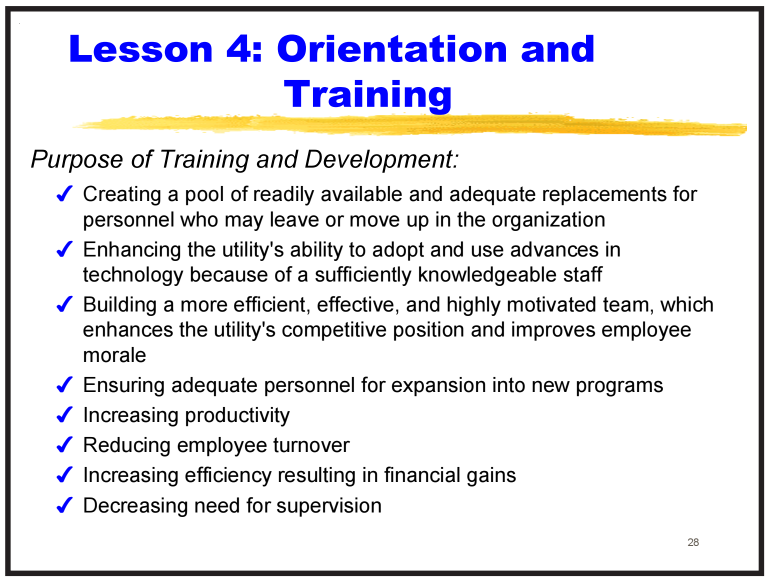
The quality of employees and their development through training and education are major factors in determining the long-term success of a small utility. Hiring and keeping good employees is the key to the first factor. (Hiring has been discussed in the first section, and retaining employees will be discussed in the third section.) If you hire and keep good employees, it is a good policy to invest in the development of their skills, so they can increase their productivity.

Training often is considered for new employees only. This is a mistake because ongoing training for current employees helps them adjust to rapidly changing job requirements.

Purpose of Training and Development

Reasons for emphasizing the growth and development of personnel include:

- ✔ Creating a pool of readily available and adequate replacements for personnel who may leave or move up in the organization
- ✔ Enhancing the utility's ability to adopt and use advances in technology because of a sufficiently knowledgeable staff
- ✔ Building a more efficient, effective, and highly motivated team, which enhances the utility's competitive position and improves employee morale
- ✔ Ensuring adequate personnel for expansion into new programs
- ✔ Increasing productivity
- ✔ Reducing employee turnover
- ✔ Increasing efficiency resulting in financial gains
- ✔ Decreasing need for supervision



Employees frequently develop a greater sense of self-worth, dignity, and well-being as they become more valuable to the utility and their community. Generally, they should receive a greater share of the material gains that result from their increased productivity. These factors give them a sense of satisfaction through the achievement of personal and organizational goals.

Lesson 4

Instructor Tips

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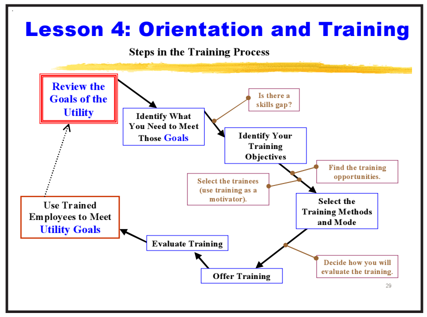
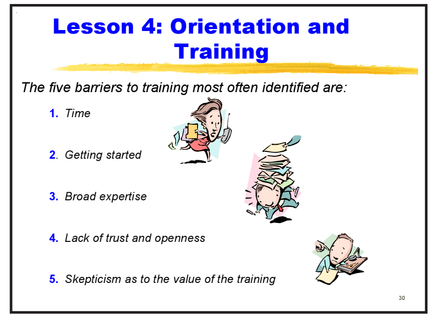


Slide A



Slide B

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Ideas for Real Life Examples

- Give an example of a manager who went home from a training session, created a training plan, and stuck to it. Describe the outcomes of a more efficient staff, higher employee morale, and lower employee turnover.

Potential Discussion Questions

- Why are you more likely to follow a training plan if you take the time to write it?
- What are some ways to overcome the five barriers to a training program?

References

Training strategy from another utility

TIME BAR (2 hours 20 minutes)

Speaker Notes

This chart shows the steps in the training process. Your utility should have a clear strategy and a set of goals that direct and drive all training decisions. Groups that plan their training process are more successful that those that do not.

Keep in mind that some agencies provide relatively “free” training. Contact your regional health corporation or RUBA staff at DCED for more information.

Why, then, do some managers not actively engage in training planing and design that can improve their chances of success? **There are five barriers to training that are most often identified:**

1. **Time - Managers of small utilities find that time demands do not allow them to train employees or even assess their training needs**

2. **Getting started - Many small utility managers haven’t practiced training employees to the process is unfamiliar to them.**

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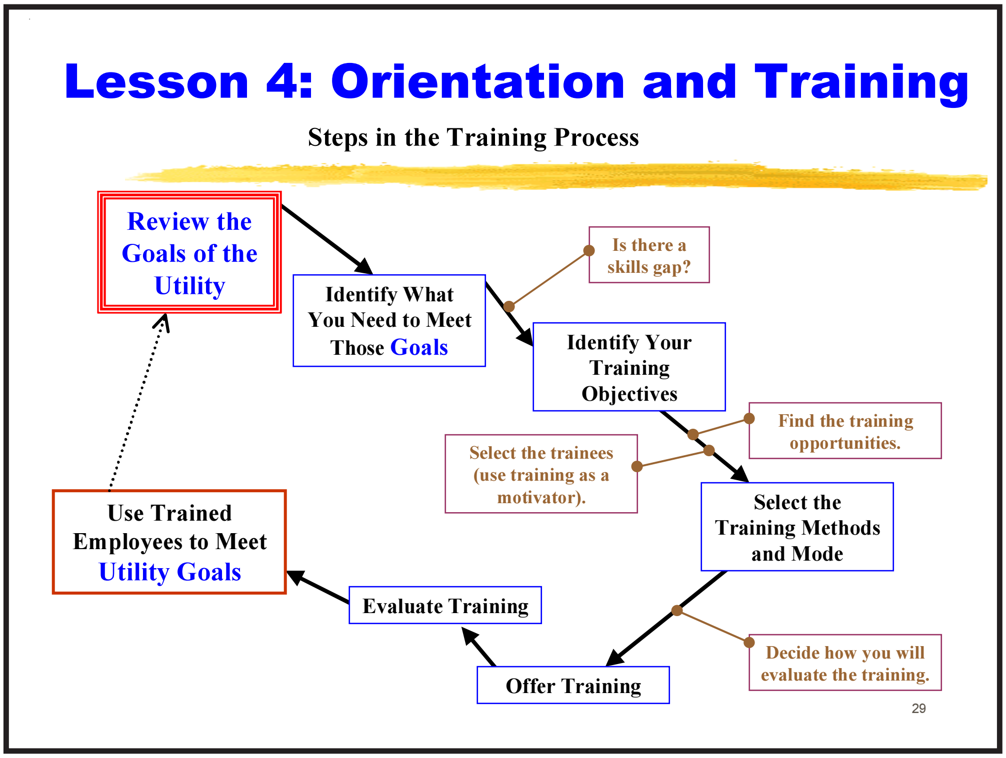
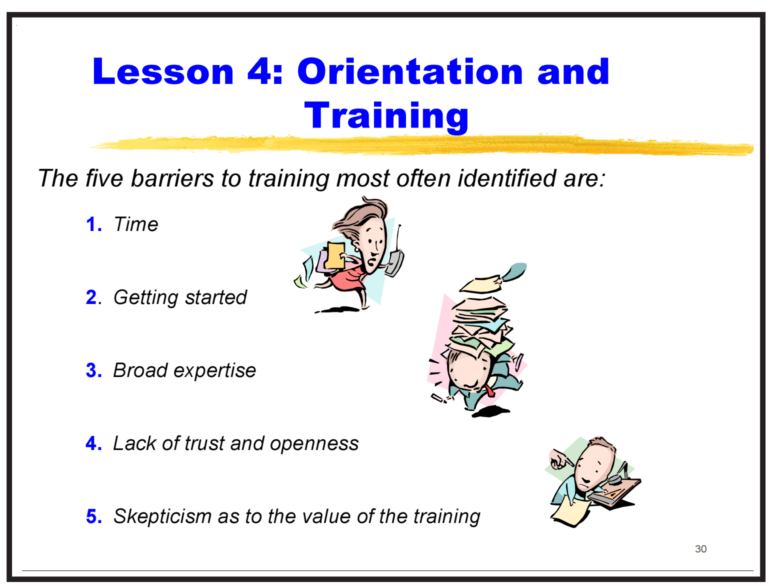
The Training Process: Structure, Barriers, and Strategy
The chart shown below traces the steps necessary in the training process.



Your utility should have a clear strategy and set of goals that direct and drive all the decisions made, especially training decisions. Recognize that some agencies provide relatively "free" training. Let agencies such as your regional health corporation or DCED know what training you need, and they can help you get it for your staff.

Groups that plan their training process are more successful than those that do not. Most utility managers want to succeed, but they do not engage in training planning and design that can improve their chances of success. Why not?



The five barriers most often identified are

1. *Time* — Small utilities managers find that time demands do not allow them to train employees or even realize what training they need.
2. *Getting started* — Most small utility managers have not practiced training employees. The training process is unfamiliar.

Lesson 4

Instructor Tips

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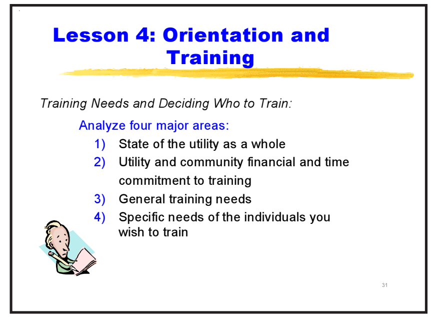
Slide A



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Ideas for Real Life Examples

- Give an example of a utility that undertook a training needs analysis and the results of the analysis.

Potential Discussion Questions

- Does creating a training strategy and completing a training needs assessment take a lot of time?
- Why should you worry about who your customers are and why they buy from you? You're a monopoly, right?

TIME BAR (2 hours 30 minutes)

Speaker Notes

3. **Broad expertise - Managers tend to have broad expertise rather than specialized skills needed for training and development activities.**
4. **Lack of trust and openness - Some managers prefer to keep information to themselves. By doing so, they keep information from co-workers and others who could be useful in the training and development process.**
5. **Skepticism as to the value of training - Some managers believe the future can't be predicted so that their efforts are focused on current activities rather than long-term goals.**

As we mentioned before, a well-built training program can help your utility succeed. A program shaped with the utility's strategy and goals in mind has a high chance of improving productivity and meeting other objectives stated in the training mission.

So, how do you formulate a training strategy? You do this by addressing a series of questions. These include the following:
- Who are your customers?
- Why do they buy from you?
- How do you need to serve the community?
- What parts of the community have you ignored?
- What are the strengths of the utility?
- What weaknesses does the utility have?
- What trends are merging in your community that will affect the utility? More people? New facilities? New businesses?

Armed with the answers to these questions, you can identify your training needs.

What four major areas need to be analyzed for training needs and who needs to be trained?
1. **State of the utility as whole**
2. **Utility and community financial and time commitment**
3. **General training needs**
4. **Specific needs of the individuals you wish to train**

By analyzing these four areas, you will be able to determine why training is needed, what certificates are needed for each position, what each employee should learn in order to be more productive, and who needs to be trained.

3. *Broad expertise* — Managers tend to have broad expertise rather than the specialized skills needed for training and development activities.
4. *Lack of trust and openness* — Many managers prefer to keep information to themselves. By doing so, they keep information from subordinates and others who could be useful in the training and development process.
5. *Skepticism as to the value of the training* — Some utility managers believe the future cannot be predicted or controlled, and their efforts, therefore, are best focused upon current activities - i.e., making money today.

A well-built training program can help your utility succeed. A program shaped with the utility's strategy and goals in mind has a high chance of improving productivity and meeting other objectives that are set in the training mission.

Formulating a Training Strategy

For any business, even a public service business, formulating a training strategy requires addressing a series of questions.

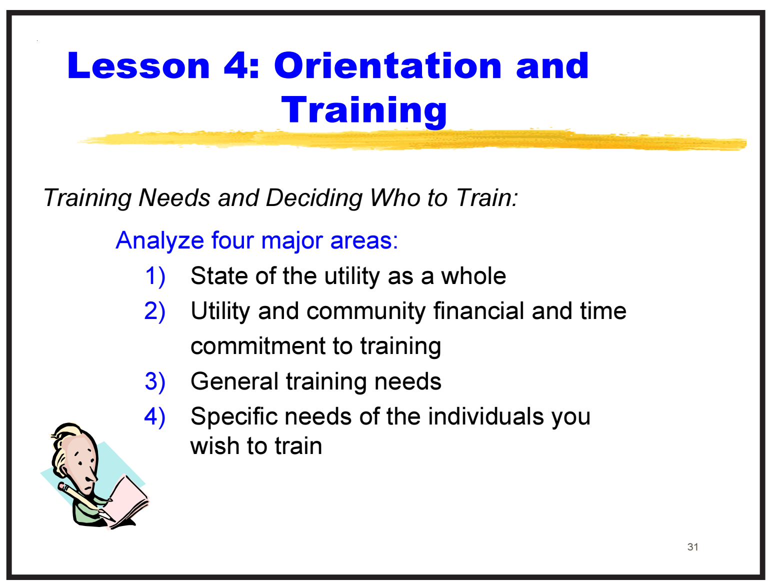
- Who are your customers?
- Why do they buy from you?
- How do you need to serve the community?
- What parts of the community have you ignored?
- What are the strengths of the utility?
- What weakness does the utility have?
- What trends are emerging in your community that will affect the utility? More people? New facilities? New businesses?

The purpose of formulating a training strategy is to answer two relatively simple but vitally important questions: (1) what is our business? and (2) what should our utility be? Armed with the answers to these questions and a clear vision of its mission, strategy and objectives, you can identify your training needs.

Identifying Training Needs, Goals, and Methods

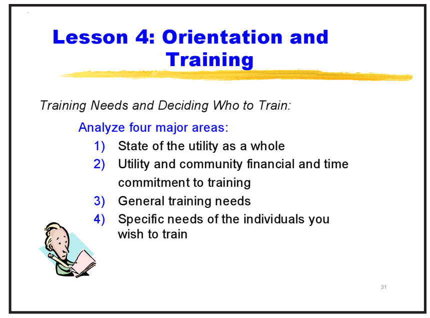
Analyzing four major areas: 1) state of the utility as a whole, 2) utility and community financial and time commitment to training, 3) general training needs, and 4) the specific needs of the individuals you wish to train—will help you to assess training requirements. This analysis will provide answers to the following questions:

- Why is training needed?
- What certifications are required for each position?
- What specifically must an employee learn in order to be more productive?
- Who needs to be trained?



Lesson 4

Instructor Tips



Ideas for Real Life Examples

Potential Discussion Questions

- What should you do if you think the utility and the community don't support you in your training efforts?
- How can you train someone to do their job based on their job description if you've never done that particular job before?
- Should you require an employee to remain employed with your utility for a certain period of time after they receive training?

TIME BAR **(3 hours)**

Speaker Notes

Let's look at these four areas in more detail. The first area is the state of the utility as a whole. You can do this by looking at what your utility does best and what the abilities of your staff are. You should also know where your want your utility and staff to be in five years.

The second area is financial and time commitment to training. You should take into consideration whether the utility and community is financially committed to supporting your training efforts. If not, your efforts may fail.

The third area is general training needs. This is where you determine exactly where training is needed. Concentrate your resources where they are most essential. An internal review may point out some area that may benefit from training. Also, a skills inventory can help determine what skills are available now and what skills are needed for future development. In addition, you should also ask your customers what they like about your utility and what areas they think should be improved.

Finally, the fourth area is specific training needs. Once you have determined where training is needed, concentrate on its content. If you are training an employee based on their job description, you should go into detail about how the job is performed on a task-by-task basis. You may even want to do the job from time to time to get a better feel for what is done and how to improve it. Another way to determine specific training needs is to compare an employee's current skills to the utility's performance standards. Any discrepancies between the actual and anticipated skill levels identify a training need.

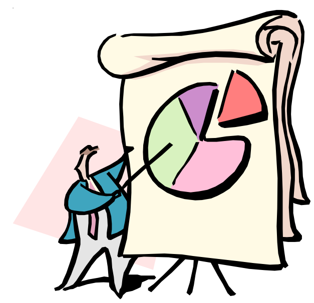
Once you've figured out your training needs, you need to decide who to train. For small utilities, this question is crucial since training is expensive, and training an employee who leaves you for a better job is even more expensive.

Exercise: Training Worksheets

State of the Utility as a Whole

Start by assessing the status of the utility as a whole. How does it do what it does best? What are the abilities of your staff to do these tasks? The answers will provide some benchmarks against which you can judge the effectiveness of a training program. You should know where you want your utility and staff to be in five years. Are you intending to upgrade your operations to higher quality (and thus certification) standards? What training program do you need to take your staff from here to there?

Financial and Time Commitment to Training



Next, consider whether the utility and community is financially committed to supporting the training efforts. It takes time to get staff trained. If not, your attempts to develop a solid training program will likely fail.

General Training Needs

Thirdly, determine exactly where training is needed. Concentrate your training resources where they are most essential. An internal review will help point out areas that may benefit from training. Also, a skills inventory can help determine the skills possessed by the employees in general. This inventory will help the organization determine what skills are available now and what skills are needed for future development.

Also, in today's consumer-driven economy, you would be careless not to ask your customers what they like about your utility and what areas they think should be improved.

To summarize, the analysis should focus on the total organization and should tell you (1) where training is needed and (2) where it will work.

Specific Training Needs

Once you have determined where training is needed, concentrate on its content. Look at the qualifications of the job based on the written description of what the employee actually does. Training based on job descriptions should go into detail about how the job is performed on a task-by-task basis. Actually doing the job yourself from time to time will enable you to get a better feel for what is done and how to improve upon it.

Individual workers can be appraised by comparing their current skills or performance to the organization's performance standards or projected needs. Any discrepancies between actual and anticipated skill levels identify a training need.

Deciding Who to Train

Once you have decided what training is necessary and where it is needed, the next decision is who should be trained? For a small enterprise like your utility, this question is crucial. Training an employee is expensive, especially when he or she leaves you for a better job.

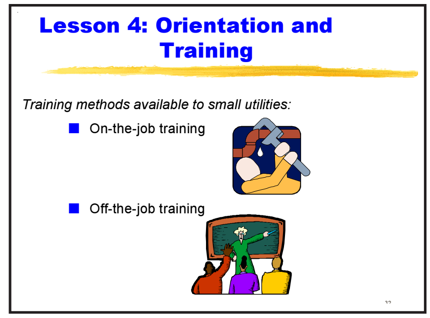
Lesson 4

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References

List of upcoming training sessions
Example: Current ATTAC calender



Ideas for Real Life Examples

Potential Discussion Questions

– Why is it important to identify training goals?
– What are the benefits to on-the-job training?
– What are the benefits to off-the-job training?

TIME BAR (3 hours 10 minutes)

Speaker Notes

You should also take into consideration the ability of each worker to learn the material and use it sensibly. The training experience should leave the employee more motivated.

Now that we've identified our training needs, we will identify our training goals. The goals of the training program should relate directly to the results of your assessment process. Course objectives should clearly state what behavior or skill would be changed as a result of the training. Goals should include milestones to help take the employee from where they are today to where the utility wants them to be in the future. Setting goals also helps you to evaluate the training program and to motivate employees. If you allow your employees to participate in setting training goals, you increase their motivation and the probability of their success.

The last thing we need to do, then, is to determine our training methods. There are two broad types of training available to small utilities: on-the-job and off-the-job. We will look at both types. **On-the-job training includes the following:**

- **Orientation**
- **Apprenticeship and internship**
- **Job rotation and coaching**
- **Programmed reading and software**
- **Distance learning via the Internet**

Some off-the-job training methods include the following:

- **Lectures and courses**
- **Tours or shadowing other utilities**
- **Films, videos, and television**
- **Conferences**
- **Role playing and simulation**

On-the-job training is delivered to employees while they perform their regular jobs. The benefit to this is that they learn while they're still working so you and they don't loose any work time. The Internet is also a valuable learning tool to make available to employees if possible. Employees can sign up for online courses, link up with other experts, or sign up for newsgroups or forums where employees can post questions or problems for feedback from others with a similar experience.

Consider the ability of each worker to learn the material and to use it sensibly. The training experience should leave employees more motivated. Failure in the program is not only damaging to the employee but a waste of money as well.

Training Goals

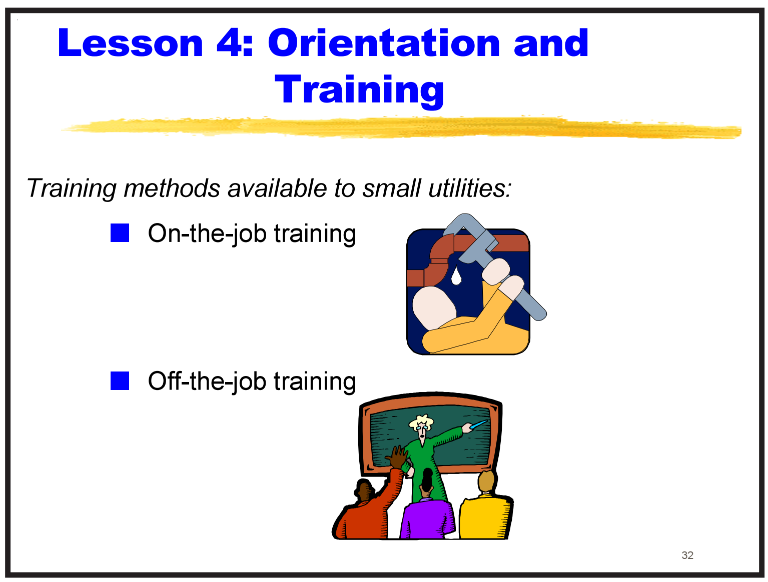
The goals of your training programs should relate directly to the results of your assessment process. Course objectives should clearly state what behavior or skill would be changed as a result of the training. Goals should include milestones to help take the employee from where he or she is today to where the utility wants him or her in the future. Setting these goals helps you evaluate the training program and to motivate employees. Allowing your employees to participate in setting these goals increases their motivation and the probability of their success.

Training Methods

There are two broad types of training available to small utilities: on-the-job and off-the-job.

Sample Training Techniques and Activities - On the Job

- Orientation
- Apprenticeship and internships
- Job rotation and coaching
- Programmed reading and software
- Internet—distance learning



Sample Training Techniques and Activities - Off the Job

- Lectures and courses
- Tours or shadowing of other utilities
- Films, videos, and television
- Conferences
- Role Playing and simulations

Of course, on-the-job training is delivered to employees while they perform their regular jobs. In this way, they do not lose work time while they are learning. Develop an ongoing plan for what should be taught and how you want to teach it. Let your staff know what you expect, along with a timetable for periodic evaluations to inform them about their progress.

If you have computers and a connection to the Internet, you can look for various distance-based learning opportunities, such as on-line courses, links to other experts, and newsgroups or forums, where your workers can post questions or problems and see the feedback of others with similar experience.

Instructor Tips

References

Flyers for upcoming training classes (ex. Skillpath), videotapes (ex. Personnel Law), CD-ROMs (ex. Word Tutorial)

Ideas for Real Life Examples

- Give an example of a community that uses innovative and low-cost ideas to continually provide training to its employees

Potential Discussion Questions

- What reasons can you use to justify the cost of off-the-job training to your governing body or utility board?
- Are there ways to bring a trainer into your community to help train employees?
- Does anyone budget for training videos or CD-ROMs?

TIME BAR (3 hours 20 minutes)

Speaker Notes

Off-the-job training methods include lectures, special study courses, workshops, regional training conferences, case studies, laboratory training, etc. You need to choose the technique that fits within your budget.

We'll now look at a few of these training techniques in more detail. First is orientation. We've already spent a lot of time talking about what orientation is and why it's important for new employees. Did you know that as many as 60% of all new employees who quit do so within the first 10 days? That's why orientation is so critical. Different utilities do orientation differently. You should use all methods available to you to help the new employee understand his or her new place of employment. At this time, the importance of the employee policies and procedures manual can't be overstated.

Another technique is lectures and courses. Lectures are used to present a great deal of material to a large group of people. The benefit of lectures is that it's less expensive to have a group attend one training than to have a trainer train each person individually. The downside to lectures is that it's mostly one-way communication and that it's hard to make sure the audience understands the topic on the same level. Good lectures include exercises, worksheets, slides, and supplemental information.

Audiovisual methods are another way to train employees. This includes television, videotapes, films, CD-ROMs, and the Internet. The advantage to this technique is that it's the same no matter how many times it's played. The disadvantage to them is that it doesn't allow for interaction with the speaker and doesn't allow for changes in the presentation for different audiences.

Off-the-job techniques include lectures, special study including home study courses, workshops, regional training conferences, case studies, laboratory training, and so on. Most of these techniques can be used by small utilities although some may be too costly. Choose the techniques that meet your needs and fit your budget.

Orientations

Orientations are for new employees. Their initial days on the job are crucial in the success of new employees. Did you know that as many as 60 percent of all employees who quit do so in their first ten days? To help prevent that, orientation training should emphasize the following topics:

- The utility's history and mission
- The key members in the organization, their roles, and their responsibilities
- How the utility helps fulfill the mission of the council or community
- Personnel rules and regulations for the utility

Some companies use verbal presentations while others have written presentations. Many small organizations convey these topics in one-on-one orientations. Use all these methods so the new-comer can best understand his or her new place of employment. The importance of your employee policies and procedures manual for imparting rules and culture can not be overstated.

Lectures and Courses

Lectures present training material verbally (and visually) and are used when the goal is to present a great deal of material to many people at once. It is less expensive to have a group attend one training, than to have one trainer go around and train each person individually.

Remember, however, that simple lecturing is mostly one-way communication and is not always the most effective way to train. Ensuring the entire audience understands a topic on the same level isn't easy; you may under-train some and lose others. Despite these drawbacks, lectures are good for getting general information to large audiences.

A good training course includes more than just lectures. It should incorporate, as this one does, group and individual exercises, work sheets and slides, and supplemental information you can take with you for later reference.

Audiovisual Methods

Audiovisual methods such as television, videotapes, films, and now CD-ROMs and the Internet are one of the most effective means of providing real world conditions and situations in a short time. One advantage is that the presentation is the same no matter how many times it's played. This is not true with lectures, which can change as the speaker is changed or can be influenced by outside constraints. The major flaw with the audiovisual method is that it does not allow for questions and interactions with the speaker, nor does it allow for changes in the presentation for different audiences.

Lesson 4

Instructor Tips

References

Job rotation policy from another utility, interactive videos

Ideas for Real Life Examples

- Give an example of a successful utility whose manager provides most of the training to her employees and, as a result, is able to keep the training costs down.

Potential Discussion Questions

- Why is job rotation important, especially in a small utility?
- Why are interactive videos a good idea?
- How do you decide who should present your training sessions (you or outside trainers)?
- What are the advantages and disadvantages to in-house trainers and outside trainers?

TIME BAR (3 hours 40 minutes)

Speaker Notes

The next technique we'll talk about is job rotation and apprenticeships. Job rotation involves moving an employee through a series of jobs so they can get a good feel for the tasks that are associated with each one. In a small utility, it is more likely that an employee will need to learn everything.

The last technique that we'll talk about in detail is program learning, computer-aided instruction, and interactive videos that let the employee learn at their own pace. They can skip sections they have already mastered and focus on sections that are new or more difficult for them. An employee can learn as their time allows, and an instructor doesn't even need to be present!

The next topic for discussion is trainers. Who will train your employees? The answer to that question depends on the type of training needed and who will be receiving it. At-work training is mainly conducted by supervisors (and this could mean you!). Outside instructors conduct off-the-job training. There are pluses and minuses to the different trainers. If you are doing the training, you will need to study techniques of good training on your own. Your investment in training, however, will pay off in increased safety and quality. If you decide to use an outside training source, there are many options available. The advantage to using an outside trainer is that the organizations are experienced in training. The drawback is that outsider trainers usually don't know your particular utility very well. They don't have any idea about the ins and outs of how things really are with your people and your equipment. The most important thing to keep in mind, no matter who does the training, are the utility's goals and values.

Job Rotation and Apprenticeships

Job rotation involves moving an employee through a series of jobs so he or she can get a good feel for the tasks that are associated with each. In your utility, it is likely that each worker will learn to do everything. At a big-city utility, tasks may be more specialized, so moving people through the various positions can be useful for helping workers understand each other. The employee learns a little about everything.

Programmed Learning

Programmed learning, computer-aided instruction, and *interactive video* all have one thing in common: they let the trainee learn at their own pace. Also, unlike a lecture, they allow material already learned to be quickly skipped in favor of material with which a trainee is having difficulty. After the introduction, the instructor need not be present, and the trainee can learn as his or her time allows. Look into using these methods. You may be able to use programs or videos provided through this agency, your library system, or other sources to train workers right at your utility.

Trainers

Who actually conducts the training depends on the type of training needed and who will be receiving it. At-work training is mainly conducted by supervisors (you); off-the-job training is conducted by outside instructors.

As a manager, you are ultimately responsible for the effectiveness of your utility and, therefore, the training of your staff. You can continue to study techniques of good training on your own. Your investment in learning to sensibly train your team, and knowing when to arrange more expert training for them, will pay off in increased safety and quality.

There are many outside training sources, including consultants, schools, chambers of commerce, and economic development groups. Selecting an outside training source has advantages and disadvantages. The biggest advantage is that these organizations are experienced. With all you have to do, it makes sense to let experts take some of the burden off of you. To find out what kinds of training are available ask your RUBA contact, your remote maintenance worker, and people at other agencies.

Still, there are some things you know (or will soon know) better than anyone. Outside training specialists may have little or no knowledge of your particular utility. While they may have very useful broad experience, being strangers to your facility, they will have no idea about the ins and outs of how things really are with your people and your equipment. Sometimes, an outside trainer can develop this knowledge quickly by immersing himself or herself in the utility prior to training your staff.

Whoever is selected to conduct the training, either outside or in-house trainers, it is important to keep the utility's goals and values carefully in mind.

Lesson 4

Instructor Tips

Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (4 hours)

Speaker Notes

The last topic for discussion is running and evaluating your training program. You've put in a lot of time so far assessing your training needs and determining who needs to be trained. The last steps are to run and evaluate your training program. Running the training should be the easy part. The critical part is to follow-up your training with an evaluation to make sure your training goals are being met. You need to make sure the training was worth your effort and that your employees are gaining the skills and knowledge they need to improve their job performance.

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

Running and Evaluating Your Training Program

Having planned the training program properly, you must now run it. It is important to follow through to make sure the goals are being met. The actual environment in which your training is held will greatly affect the ability of your staff to learn. A good learning environment makes it easy for students to focus on the material at hand instead of being distracted by other things. Factors to consider before training begins include:

- Location
- Facilities
- Accessibility
- Comfort
- Equipment
- Timing

Action Plans:

1. ____

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2. ____

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3. ____

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Lesson 5

Instructor Tips

Lesson 5 will take 4 hours to complete.

- Remember that text in red represents a worksheet or test question.
- Students should understand that all employers are must follow employment laws regardless of staff size.
- Students need to understand the legal considerations required in personnel management.
- Don't spend a lot of time on this page as topics are covered in depth later.

Ideas for Real Life Examples

Potential Discussion Questions

- Ask participants how and where regulations and laws are posted in their utility.

TIME BAR (10 minutes)

Speaker Notes

In addition to the difficulties of finding and training good employees, there are also legal issues every manager must know.

A review of government regulations will help you understand how to protect your utility from claims of discrimination and unfair treatment.

Drug/alcohol abuse and sexual harassment are two of the most costly problems employers may face. Employers have been sued for big bucks when things have gone wrong in these areas and lives have been harmed. Sample policies and procedures for both of these issues are provided in the Appendix.

Workers Compensation Insurance provides financial assistance when workers are hurt or killed on the job. It is a no-fault insurance that employers are legally responsible to provide.

The technicalities of payroll deductions and the importance of proper record keeping will also be discussed.

Lesson 5: Regulations and The Law

Introduction

In addition to the difficulties of finding and training good employees, there are also legal issues every manager must know. Managing a remote utility does not lessen the impact of these laws. You must know them and understand them because, in this case, what you do not know can be very expensive for you and the utility.

Overview of This Lesson

This lesson explains how to manage your utility so that it complies with employment regulations and law.

Of course you probably want to treat people fairly and equally. What if others in your organization do not? Or what if you simply don't know all the laws that regulate your utility? Then what?

Here we review some of the more important government regulations for employers so that you can understand how to protect your utility from claims of discrimination and unfair treatment. If others pressure you to make bad decisions, you can use these laws to support your decision. Your staff can use these laws too—and possibly sue if you violate them. Like it or not, you must take the time to understand the law. This section will help.

Drug/alcohol abuse and sexual harassment are two of the most costly problems employers may face. Your workers have a right to a safe, drug-free, and harassment-free workplace. Employers have been sued for millions of dollars when things have gone wrong in these areas—but worse, people's lives have been destroyed. We will pay special attention to both of these issues and have included sample policies and procedures in the Appendix to guide you in avoiding or reducing such problems.

The Workers' Compensation Insurance system was designed to provide workers with relief in case of an accident, illness, or injury on the job. We will explain how it works, who needs it, and how to use it in the event it is needed. Awareness of Workers' Compensation Insurance guidelines is an important part of your management job. Used properly, this insurance can provide a safety net for your employees and for the families who count on them.

We will discuss the technicalities of illegal deductions and again stress the importance of proper record keeping. Employees have the right to be paid for their work and can not be held accountable for the financial risks or mistakes of their employers.

What do you do when your staff crosses the line? While you don't want to play the role of a punishing parent or the "Big Meanie," some behavior is simply unacceptable in the workplace. We will show you how to use progressive discipline to

Lesson 5

Instructor Tips

- Students will have a clear understanding of the benefits from employment regulations and law.

Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (20 minutes)

Speaker Notes

You will be introduced to progressive discipline, problem resolution, and employee termination. "At will" and "for cause" termination will be discussed and explained.

At the end of this lesson, the following seven topics will have been covered:

1. Government Acts and Regulation for Employers
2. Drug and Alcohol Use
3. Sexual and Other Unlawful Harassment
4. Workers' Compensation Insurance
5. Illegal Deductions
6. Progressive Discipline
7. Termination

As an employer, you are responsible to follow federal and state laws that govern the employer-employee relationship. These laws assure workers that they are paid at least minimum wage, that they are not discriminated against, that they have a safe workplace, and that the appropriate taxes are withheld from their paychecks. Employers who violate these laws could face steep penalties that may jeopardize their business.

warn, punish, and halt such behaviors. Like it or not, discipline is part of your job as a manager. Making clear-cut guidelines known to all will make your job much easier. In the event that you do have to discipline your staff, they will know you are being fair.

We will explain problem resolution and employee termination and disuss the two types of termination: "for cause" and "at will." You can let your employees know that their concerns and complaints will be heard and addressed in a timely manner. In exchange, they can alert you to problems soon enough to do something about them.

Before we finish with the legal lesson, we will have examined the following seven topics:

1. Government Acts and Regulations for Employers
2. Drug and Alcohol Use
3. Sexual and Other Unlawful Harassment
4. Workers' Compensation Insurance
5. Illegal Deductions
6. Progressive Discipline
7. Termination

Government Regulations for Employers

Once you become an employer, you take on a whole new set of responsibilities. A host of federal and state laws govern many aspects of the employer-employee relationship. These measures assure that workers are paid at least minimum wage, that they are not discriminated against in the workplace, that they will work in a safe environment, and that they will have the appropriate state and federal taxes withheld from their paychecks.

It's best to check with the government agencies whose regulations you must comply with so you don't overlook anything. The law prohibits discriminating against employees for reasons of race, color, national origin, gender, age, or disability. If you violate the law, you could find yourself facing steep penalties that will not only be bothersome but may jeopardize your business.

Eligibility to Work — Citizenship or Work Permits Required

The Immigration Reform Control Act of 1986 was intended to reduce the number of illegal immigrants seeking jobs in the United States. Under the law, employees hired after November 6, 1986, must show proof of their identity and eligibility to work. The law requires they either are citizens of the United States or that they have secured temporary permission to work here.

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- You may have a Form I-9 to display, handout, and discuss the types of acceptable proof of identification.
- Students should have a clear understanding of ADA.

References

Form I-9
Americans With Disabilities Act (ADA)

Hint: This slide remains visable for the next page.

Ideas for Real Life Examples

- Your brother-in-law applies for work and has no acceptable identification. Can you legally hire him?
- Provide example of adapting work environment to a person with a disability (deaf employee-warning bells become flashing lights)

Potential Discussion Questions

- Ask participants to identify acceptable documents for proof of identity.
- Does the water treatment plant require handicapped access if the public office is in separate building? Why? Why not?
- Ask students for examples of reasonable accommodations from sight impaired, deaf, or wheelchair-bound workers.

TIME BAR (30 minutes)

Speaker Notes

Once hired, employees must fill out the Employment Eligibility Verification Form I-9, on which they attest they are eligible to work. Employers must certify the documents and retain the Form I-9 with copies of documents in the employee personnel file.

The Americans with Disabilities Act (ADA) requires that the employer make reasonable accommodations for workers with disabilities. Employers who follow ADA, state, and local laws in a non-discriminatory way will avoid facing civil penalties and criminal charges. Qualified persons with disabilities are entitled to equity in pay, job assignments, classifications, leave, promotions, and seniority lists.

By law, the utility must make reasonable accommodations for qualified individuals with disabilities unless doing so would result in an undue hardship.

Once hired, employees must fill out the Employment Eligibility Verification Form I-9 on which they attest they are eligible to work, and employers must certify that documents presented appear to be genuine and relate to the individual presenting the documents. Employers who do not comply with this act face strict penalties.

For more information, contact the Immigration and Naturalization Service (INS).

Americans with Disabilities Act

This law requires employers of 15 or more people for 20 or more weeks of the year to make reasonable accommodations for workers with disabilities, provided they are qualified to perform the job and the safety of others in the workplace is not compromised.

For help in implementing the Americans with Disabilities Act in your workplace:

> Contact your regional Disability and Business Technical Assistance (DBTA) Center. There are ten such centers funded by the National Institute on Disability and Rehabilitation Research (NIDRR) of the U.S. Department of Education to provide information and referral, technical assistance, public awareness, and training on all aspects of the ADA.

Your utility should be complying fully with the Americans with Disabilities Act (ADA) and all state and local laws related to disabilities and ensuring equal opportunity in employment for qualified persons with disabilities. All employment practices and activities should be conducted on a non-discriminatory basis. If you fail to do so, you and the utility could be facing criminal charges and civil penalties.

Keep in mind that qualified individuals with disabilities are entitled to equity in pay, other forms of compensation, job assignments, classifications, organizational structures, leave, position descriptions, promotions, and seniority lists.

By law, the utility **must** make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship. For instance, if you have a public rest room in the main office where customers pay their bills, it has to be handicapped accessible. That's because you will have customers with handicaps. But if there is also a rest room on a second floor, you do not necessarily have to make that bathroom handicapped accessible because it is not reasonable to make a ramp so wheelchairs can get to the second floor when there is already a public bathroom in the lobby. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training.

Lesson 5

Instructor Tips

- Students should have a clear understanding of when FLSA is required.
- Use a flip chart to identify jobs available for ages under 18.

References
FLSA, FMLA
State Minimum Wage
AS 23.10.330 - .350
AS 23.10.060

Hint: This slide remains visable for the next page.

Ideas for Real Life Examples

- Provide examples of an employee requesting family leave (spouse with cancer, adoption).
- Provide an example of summer youth program clearing brush from road to the reservoir (no one under age 16 to use weed whacker or brush cutter).

Potential Discussion Questions

- Ask participants for examples of employees exempt from overtime.
- Ask students for examples of jobs available for various ages under 18 (list on flip chart).

TIME BAR **(45 minutes)**

Speaker Notes

The Fair Labor Standards Act (FLSA) regulates minimum wage, overtime, child labor, family leave, and medical leave.

The Family and Medical Leave Act only applies if you employ 50 or more people. Each utility with less then 50 employees may adopt a FMLA and provide for their employees.

Exceptions may be made to the standard of age 16 as minimum age. Limitations to task assignments depend on the age of the employee. Most hazardous jobs are prohibited to employees below age 18. Check the Department of Labor's web site for more information.

Employers must pay at least the minimum wage. In Alaska the minimum wage increased to $7.15/hr in January 2003. The law also specifies that employees must receive time-and-a-half pay for more than 40 hours in a week.

Jobs that require equal skills, effort, and responsibility require equal pay regardless of gender. Work duties not job titles determine if equal pay is required.

The Department of Labor and Workforce Development, Wage and Hour Division may be contacted for questions about current laws. They also enforce child labor laws and bring action against employers who violate the wage and hour laws.

Fair Labor Standards Act and Family and Medical Leave Act

As discussed earlier, the Fair Labor Standards Act (FLSA) regulates minimum wage and overtime, which apply to all companies. The FLSA of 1938 introduced the first federal minimum wage (25 cents per hour) and the 40-hour workweek. Times have changed and the federal minimum wage has been increased regularly. The FLSA also includes such laws as the Family and Medical Leave Act (FMLA), which only applies to you if you employ 50 or more people.

Employers of 50 or more people are required by the FMLA of 1993 to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for certain family and medical reasons. Employees are eligible if they have worked for the employer for at least one year, worked for 1,250 hours over the previous 12 months, and at least 50 of the employees live within 75 miles of the job site.

Child Labor

The minimum age for children in most full or part time jobs is 16 years old. Fourteen and 15-year-olds are restricted to a few jobs such as filing and sales. Persons under 14 years of age may work only under certain conditions. Fair Labor Standards Act child labor provisions are designed to protect minors from danger and abuse. While it may make sense to recruit teens into an apprenticeship program with your utility, it is important to understand the limitation to what tasks and hours you can assign them. Seventeen types of hazardous jobs are out of bounds for teens below the age of 18. Limited exemptions are provided for apprentices and student-learners under specified standards. For more information go to the Department of Labor's web site at: http://www.labor.state.ak.us/lss/childlaw.htm

Wages and Hours

Hopefully you will be able to afford to pay your workers well. But in any case, you must pay them at least minimum wage. Alaska set the state minimum wage above what the national law requires. Effective January 2003 the minimum wage is $7.15 per hour.

The law also specifies that workers must receive time-and-a-half pay for time spent on the job more than 40 hours in a week or 8 hours in a day (10 hours in a day under certain conditions). However, not all employees are covered by this act. For information regarding exemptions, contact the Department of Labor and Workforce Development, Wage and Hour office in Anchorage.

You must provide equal pay and benefits to men and women who do the same job or jobs that require equal skill, effort, and responsibility. Job titles aren't decisive in assessing whether two jobs are equal; it's the work duties that count. The Equal Pay Act makes it unlawful, for example, for the owner of a hotel to pay its janitors (primarily men) at a different pay rate than its housekeepers (primarily women) if both are doing essentially the same work. The Equal Pay Act is enforced by the U.S. Equal Employment Opportunities Commission or EEOC.

The Wage and Hour Administration of the Alaska Labor Standards and Safety Division protects workers against unfair labor practices by overseeing the wage and hour laws and bringing action against those who do not comply. They also enforce state Child Labor laws to protect youth workers. Contact them in Anchorage at 907-269-4900 with any questions about the current laws.

Lesson 5

Instructor Tips

- Students should have a clear understanding that cities, tribes, and non-profits are required to pay social security taxes and unemployment taxes.

Hint: This slide remains visable for the next page.

Ideas for Real Life Examples

- Provide an example of the clerk's uncle resigning and then applying for unemployment insurance. Uncle requests the clerk to complete the state unemployment form as laid off to qualify for benefits.

Potential Discussion Questions

- Ask participants what deductions are listed on their pay stubs.
- Ask participants if any have received unemployment benefits and how they applied.

TIME BAR (60 minutes)

Speaker Notes

The Social Security Act of 1935 provides a small guaranteed income to retired and disabled persons. The system is funded with a tax that both the employer and employee pay. Some municipal-owned utilities may provide retirement benefits through the State of Alaska and not be required to deduct for social security.

Unemployment insurance is also not an option. Cities, villages, tribes, non-profits, and Native Corporations are all required to contribute. Unemployment is to help laid-off workers pay their expenses while seeking re-employment. Eligibility for unemployment requires:

- The person must have been laid off from their job.
- They must be physically able to work.
- They must be able to accept suitable employment.
- The person must make an effort to find work.

Social Security

The Social Security Act of 1935 provides a small guaranteed income to retired and disabled persons. This system is funded by a tax on both employees and employers. By 1998 employees were required to pay the system an amount equal to 7.65 percent of the first $68,400 earned. (This includes FICA and Medicare as well.) Self-employed people, such as independent contractors, must pay the entire tax themselves, 15.3 percent of their total income. Most cities, tribes, and non-profits are required to pay Social Security taxes for their employees.

Unemployment Insurance

Unemployment insurance is not an option. Cities and villages, tribes, nonprofits, and Native corporations are all required to contribute.

Unemployment insurance is a system that was set up in the 1930's to financially assist those who found themselves out of work through no fault of their own. Its purpose is to provide some economic stability while laid off workers seek re-employment. The insurance system is funded by tax payments made by both employers and employees based on wages paid. As with any insurance system, there are criteria regarding initial eligibility as well as requirements for continuing eligibility.

As an employer, you must make sure your utility (or the city or tribe that owns it) is registered with the Alaska Department of Labor and Workforce Development. You should have a certificate that is posted for employees to see listing the utility as an employer with the Alaska Department of Labor and Workforce Development.

To be eligible for unemployment, laid off workers must be physically able to work, in a position to accept suitable employment in their area of residence, and making efforts to find work.

Unemployment benefit amounts are dependent on the amount of wages a worker was earning. They currently range from $44 - $248 per week with an additional $24 per dependant child, up to three, for a maximum of $72 of dependent allowance. To be eligible for maximum benefits, a worker must have earned at least $26,500 during their base year (contact the Alaska Department of Labor and Workforce Development for more information).

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- You may choose to distribute copies of the IRS forms.
- Students will receive a clear understanding of federal and state tax rules.

References
W-2 Form
W-4 Form
941 Form
1099 Form

Hint: This slide remains visable for the next page.

Ideas for Real Life Examples

- Provide an example of a utility not filing quarterly Form 941 or depositing employment taxes (penalties and interest assessed).

Potential Discussion Questions

- Ask participants to list protected aspects of the EEO law (list answers on a flip chart)

Speaker Notes

TIME BAR (1 hour 10 minutes)

Employers are governed by a variety of federal and state tax rules. The basics include:

- **Employer Identification Number (EIN) required**
- **Taxes to withhold (federal income tax, FICA, unemployment)**
- **W-4 completed by employee**
- **Payroll taxes deposited on timely basis**

The Civil Rights Act of 1964 established that employment decisions based on race, color, religion, sex, or national origin are discriminatory and illegal.

The Uniform Guidelines on Employee Selection Procedures adopted by the Civil Service Commission, the Departments of Labor and Justice, and the Equal Opportunity Commission established uniform standards for employers to use in selection for employment.

Equal Employment Opportunity assures fair treatment to all employees.

Exercise - EEO/Fair Employment

Taxes

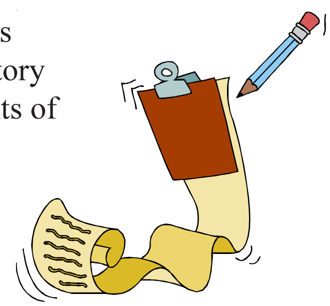
As an employer, you are governed by a variety of federal and state tax rules. Failing to follow these regulations can often result in significant penalties and costs. Here are some of the basics:

- You need to obtain a federal Employer Identification Number (EIN) and a State tax number.
- Typical taxes you need to withhold include federal income tax, FICA (Social Security and Medicare), and state and federal unemployment tax.
- A new employee is required to fill out a W-4 form stating his/her marital status and the number of exemptions he/she is taking. As the employer, you keep this form on file and use it to calculate withholding.
- As the employer, you are also required to deposit employment taxes on a timely basis, file quarterly Form 941 employment tax returns, provide your employees with an annual W-2 form, and provide independent contractors with an annual Form 1099.

You can get the appropriate forms by contacting the IRS.

Civil Rights and Employment Discrimination

The Civil Rights Act, Equal Pay for Equal Work, Age Discrimination in Employment Act, and other laws to protect workers against discrimination are regulated by the Equal Employment Opportunities Commission (EEOC).



The Civil Rights Act of 1964 established that employment decisions based on race, color, religion, sex, or national origin are discriminatory and illegal. In 1978, the Civil Service Commission, the Departments of Labor and Justice, and the Equal Opportunity Commission jointly adopted the *Uniform Guidelines on Employee Selection Procedures*. These procedures are meant to establish uniform standards for employers to use in selection procedures and to address adverse impact, validation, and record-keeping requirements.

Equal Employment Opportunity

In order to provide equal employment and advancement opportunities to all individuals, applicants and employees must be assured of fair treatment in all aspects of personnel administration. This fair treatment must be without regard for political affiliation, race, creed, color, religion, sex, age, national origin or ancestry, marital status, change in marital status, physical or mental disability, pregnancy, parenthood, or any other protected classes under federal, state, and local laws. All individuals will be treated with proper regard for their privacy and constitutional rights. It's a good idea to keep this EEO statement posted.

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Students will be able to define "relative" regarding conflict of interest.

References

AS 39.90.010

Ideas for Real Life Examples

- A utility worker's mother-in-law is on the governing body that adopts salary schedules. Describe the process for her to vote.
- A utility worker saw the supervisor taking propane tanks home for personal use each month. How does he report this?

Potential Discussion Questions

- Ask participants to describe a workplace hazard. Was it corrected and how?
- Ask participants to define "relatives" in relationship to the conflict of interest rule.

TIME BAR (1 hour 30 minutes)

Speaker Notes

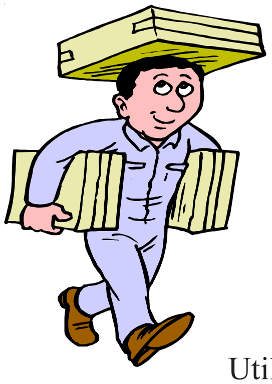
The Occupational Safety and Health Act (OSHA 1970) regulates workplace health and safety laws and covers everything from hazardous wastes to the correct way to sit at your computer.

An actual or potential conflict of interest occurs when an employee is in a position to influence a decision that may result in personal financial gain for that employee or relative as a result of the Utility's business dealings.

A "whistle blower" is someone who sees an illegal action at work and reports it to authorities. The law states that the employer may not retaliate by discharging, threatening, or discriminating in any manner. Handout a copy of AS 39.90.100.

Recap the government acts and regulations that managers need to know:

1. **Immigration Reform Control Act of 1986**
2. **Employment Eligibility Verification Form I-9**
3. **Americans With Disabilities Act**
4. **Fair Labors Standards Act**
5. **Family and Medical Leave Act**
6. **Equal Pay Act**
7. **Social Security Act**
8. **Civil Rights Act**
9. **Equal Pay for Equal Work**
10. **Age Discrimination in Employment**
11. **Occupational Safety and Health Act**
12. **Drug Free Workplace Act**



Occupational Safety and Health Administration

One of the most important laws the small utility manager should be aware of is the Occupational Safety and Health Act (OSHA 1970). OSHA regulates workplace health and safety laws and covers everything from hazardous wastes to the correct way to sit at your computer. While it does cite workplaces for violations, much of the emphasis has shifted to employer education and voluntary compliance. Utilities must comply with health and safety standards set by the U.S. Department of Labor for individual industries.

Utilities can request an OSHA consultation, and in some cases, OSHA even visits remote facilities.

Conflicts of Interest

Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. If anyone is unsure of what this means, they should seek clarification on any potential conflict of interest from the manager or supervisor.

An actual or potential conflict of interest occurs when an employee is in a position to influence a decision that may result in a personal financial gain for that employee or for a relative as a result of the utility's business dealings. For the purposes of this policy, "relatives" are defined as spouses, parents, children, brothers, sisters, brothers- and sisters-in-law, fathers- and mothers-in-law, stepparents, stepbrothers, stepsisters, and stepchildren. This policy also applies to individuals who are not legally related but who reside with another employee.

No "presumption of guilt" is created by the mere existence of a relationship with outside firms, however, play it smart. If employees have any influence on transactions involving purchases, contracts, or leases, it is imperative that they disclose this information as soon as possible so that safeguards can be established to protect the employee and all others. Even the appearance of unfairness can be deadly to the morale of your workforce.

Whistle Blowers

A "whistle blower" is someone who sees an illegal action at his/her place of work and reports this violation of the law to the State Troopers, local police, FBI, OSHA, or any other enforcement authorities. The law is very clear that a public employer may not discharge, threaten, or otherwise discriminate against an employee regarding the employee's compensation, terms, conditions, location, or privileges of employment for any reason related to the Alaska Statute 39.90.100.

Any employees with questions or concerns about any type of discrimination in the workplace should be encouraged to bring those issues to their supervisor's attention. Employees should feel able to raise concerns and make reports without fear of punishment because they bring a problem out in the open. Anyone found to be engaging in any type of unlawful discrimination should be subject to disciplinary action, up to and including termination of employment.

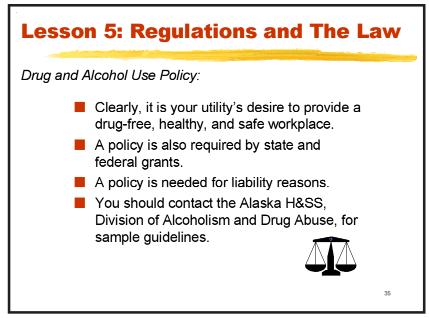
Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Use a flip chart to list participant suggestions for dealing with abuse.

References

Drug Free Workplace Act – see appendix



Ideas for Real Life Examples

- The utility operator submits monthly water samples to the clerk. The clerk thought she smelled alcohol on his breath. What should she do?

Potential Discussion Questions

- Ask participants to list positive methods for dealing with the problem of drug or alcohol abuse.

Speaker Notes

TIME BAR **(1 hour 45 minutes)**

Why do utilities need a drug and alcohol use policy? Ask participants and list answers on a flip chart. (Required for grants, prevent mistakes by employees, protect health of workers, protect health and safety of utility customers, prevent law suits, etc.)

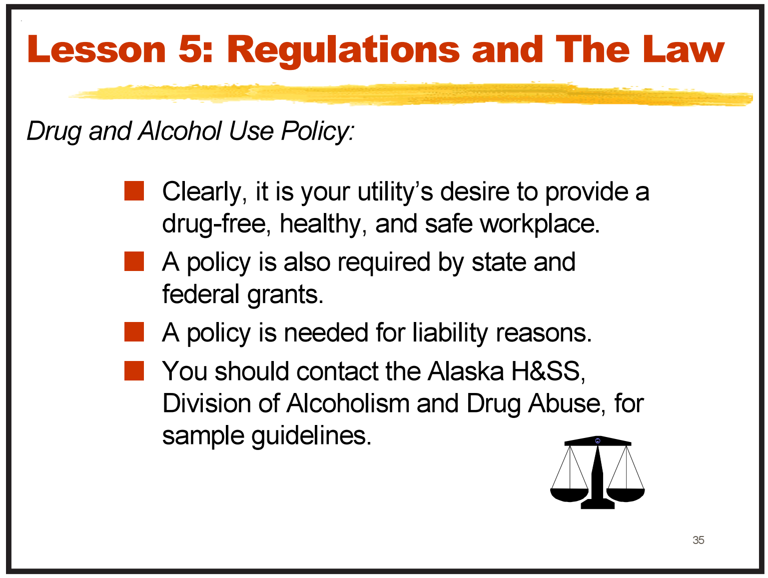
Many employers question whether they need employee drug testing. Although testing may in the end help make things more efficient, it can also expose an employer to tremendous liability.

Whether your utility tests or not, you should have a written drug and alcohol policy. Written drug and alcohol abuse policies will eliminate confusion. The policy should include the work rules and procedures for supervisors to deal with policy violations. Be sure to communicate the policy to employees so that they know and understand it. Whether you hold a meeting, handout copies of the policy, or send letters to each employee, make sure each employee knows about the policy and what he or she must do to comply with it.

Any employee with a Commercial Driver License (CDL) is required by federal law to be subject to random drug testing.

Drug and Alcohol Use

Clearly, it is your utility's desire to provide a drug-free, healthy, and safe workplace. To promote this goal, employees should be required to report to work in good mental and physical condition to perform their jobs in an acceptable manner. Drug or alcohol usage is no laughing matter. It is dangerous to the employees and to those around workers under the influence and could be hazardous to the health of the community.



As the manager of the utility, you have no choice when it comes to drug and alcohol use. While on the utility premises and while conducting business-related activities off the utility premises, **no employee may use, possess, distribute, sell, or be under the influence of alcohol or illegal drugs.** The legal use of prescribed drugs is permitted on the job only if it does not impair an employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals in the workplace.

Since violations of this policy can lead to mistakes (such as adding dangerous amounts of chemicals), which in turn can lead to death, all violations should result in disciplinary action. This action should be consistent with your policies and should at a minimum include sending the employee home (or for medical attention) immediately upon discovering they are under the influence of drugs or alcohol. Further action can require participation in a substance abuse rehabilitation or treatment program and/or termination. Violations may also have legal consequences.

Also, under the Drug-Free Workplace Act, an employee who performs work for a federal government contract or grant **must** notify the utility of a criminal conviction for drug-related activity occurring in the workplace within five days of the conviction. The utility may in turn need to notify the applicable federal contracting or granting agencies within ten days.

Because of the possible liability involved in employees who use drugs or alcohol or are under their influence on the job, it is imperative that each utility develops guidelines for what to do if an employee is suspected of being under their influence. This is important because not only must the health of the customers of the utility be protected, but so must the rights of the person accused of using drugs or alcohol.

You can also contact the Alaska Department of Health and Social Services, Division of Alcoholism and Drug Abuse. The Division has sample guidelines and can refer you to alcohol and drug assistance programs.

Lesson 5

Instructor Tips

- Ask a volunteer to read the case study.

References

Civil Rights Act of 1964 (Title VII)

Ideas for Real Life Examples

- Provide an example of sexual harassment (boss requesting sexual favors and promising a raise)

Potential Discussion Questions

- Ask participants if anyone has been involved in a discrimination or sexual harassment law suit.

TIME BAR (2 hours)

Speaker Notes

Sexual harassment is a form of discrimination that is prohibited by Title VII of the *Civil Rights Act of 1964*.

A work environment must be free of discrimination and unlawful harassment. The manager must make it clear that actions, words, jokes, or comments based on an individual's sex, race, ethnicity, age, religion, or any other legally protected characteristics will not be tolerated.

Utility managers are responsible for acts of sexual harassment committed by coworkers if the employer knew or should have known of the conduct, unless it can be shown that immediate and appropriate corrective action was taken.

Finally, keep in mind that firing an addicted person is not a solution. The next employee you hire could have the same problem. Develop positive means of dealing with the problem. Alcohol and drug counseling services are available in most communities. Recreational activities, such as a utility basketball team, can help to give people something better to do. Alcoholism and drug addiction in all Alaskan communities, large and small, is a reality we must live with. Solve the problem when you discover it.

Sexual and Other Unlawful Harassment

Case Study

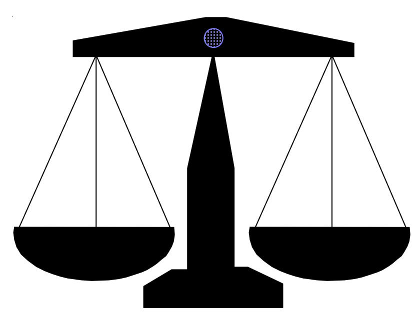
A Recent Sexual Harassment Judgement in Alaska

In Alaska, recent rulings on sexual harassment cases have found both the employing company and the managers as individuals jointly liable for damages. In one case, a woman worked just a few weeks before being repeatedly sexually harassed by a supervisor and then fired once she complained about the harassment. A jury awarded the woman over $3,000,000 in punitive (pain and suffering) damages—on top of other money for lost pay, etc. The State Supreme Court later ruled that penalty was excessive and lowered the judgment to $500,000, which is still more than enough to bankrupt most small city utilities.

It is legally mandated by state and federal laws that employees have a right to work in an environment that is free from all forms of discrimination, including sexual harassment. Sexual harassment is a form of discrimination that is prohibited by Title VII of the Civil Rights Act of 1964.

As a manager, you should be committed to providing a work environment free of discrimination and unlawful harassment. You should make it clear that actions, words, jokes, or comments based on an individual's sex, race, ethnicity, age, religion, or any other legally protected characteristic will not be tolerated.

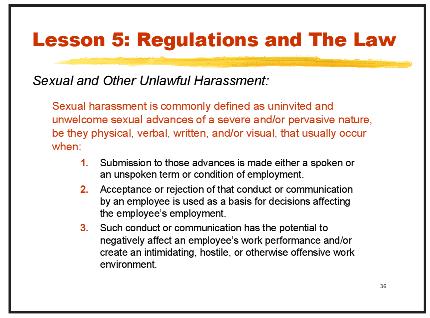
Further, you should make it crystal clear that anyone who becomes aware of possible sexual or other unlawful harassment should promptly advise you and/or any member of management, who will handle the matter in a timely, confidential manner. Anyone engaging in sexual or other unlawful harassment will be subject to disciplinary action, up to and including termination of employment. The victim(s) will be informed of the utility's decisions and the discipline.



Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Provide handout of the State of Alaska Executive Branch *Policy on Sexual Harassment and Other Discriminatory Harassment.*



Ideas for Real Life Examples

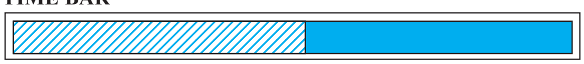
- The utility has male operators and one female operator. The female operator posted a Playgirl calendar and makes lewd comments about each male operator.

Potential Discussion Questions

- Ask participants for examples of sexual harassment. (List on flip chart)
- Ask participants if any one has a written discrimination or sexual harassment policy and how they were notified of the policy.

Speaker Notes

TIME BAR (2 hour 15 minutes)



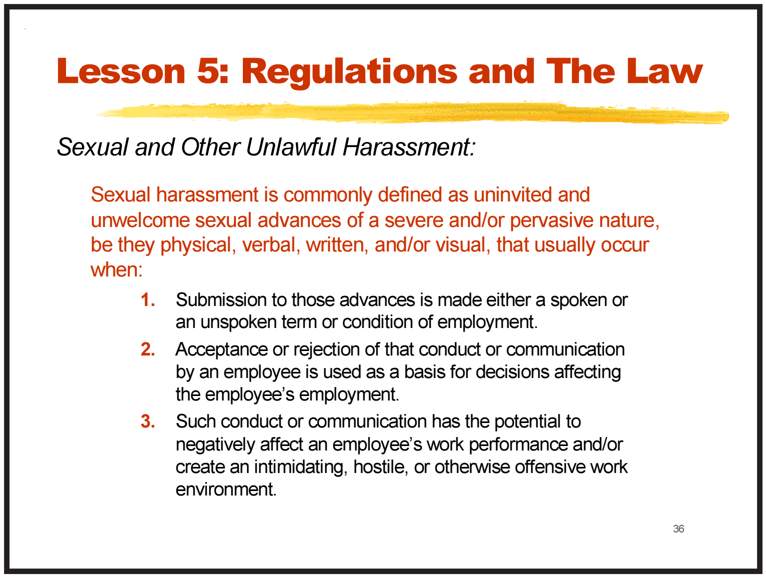
What is the definition of sexual harassment?

Sexual harassment is commonly defined as deliberate or repeated sexual or sex-based behavior that is not welcome, nor asked for, and not returned. It occurs when:

- **Submission to such conduct is made either explicitly or implicitly a term or condition of employment; or**
- **Submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting the employee; or**
- **Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.**

Give two examples of sexual harassment:

1. **inappropriate touching**
2. **sexually insulting jokes, comments, slurs, stories, or nicknames**
3. **displaying sexually suggestive objects**
4. **obscene or sexually suggestive letters or notes**



Sexual harassment is commonly defined as uninvited and unwelcome sexual advances of a severe and/or pervasive nature, be they physical, verbal, written, and/or visual, that usually occur when:

1. Submission to those advances is made either a spoken or an unspoken term or condition of employment;
2. Acceptance or rejection of that conduct or communication by an employee is used as a basis for decisions affecting the employee's employment; or
3. Such conduct or communication has the potential to negatively affect an employee's work performance and/or create an intimidating, hostile, or otherwise offensive work environment.

There have been a number of court cases that have further defined employer responsibility and liability. Some of the more significant clarifications as a result of court rulings include:

- Legal action can be justified when sexual harassment is severe enough or pervasive enough "to alter the conditions of employment and create an abusive working environment."

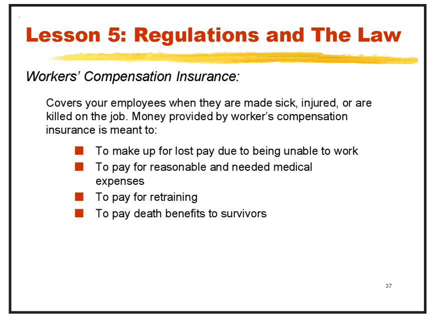
- Hiring authorities are responsible for the acts of managers and supervisors with respect to sexual harassment, regardless of whether they had knowledge of or issued policy statements forbidding such behavior. Demonstrating that all reasonable steps have been taken by a department to prevent sexual harassment/discrimination in the work place may minimize potential liability.

- Hiring authorities are also responsible for acts of sexual harassment committed by fellow employees (coworkers) in the work place if the employer (or its managers and supervisors) knew or should have known of the conduct, *unless it can be shown that immediate and appropriate corrective action was taken*.

Sexual harassment shows itself in many forms. It is most obvious when it is openly physical, such as assault, attempted rape, grabbing, blocking movement, or touching. Yet, it can also take a spoken form through sexually insulting comments, slurs, jokes, remarks, or nicknames. It can be conveyed without words through jeering, sexual gestures, or displaying sexually suggestive objects, pictures, cartoons, or posters. And finally sexual harassment can occur through writing by way of obscene or sexually suggestive letters, notes, or invitations.

Lesson 5

Instructor Tips



- Remember that text in red represents a worksheet or test question.
- Students will be aware of the steps to take in response to an allegation of sexual harassment.
- Students will understand the purposes of workers' compensation insurance.

Ideas for Real Life Examples

- Provide an example of an administrator taking stress leave for being yelled at monthly regarding utility bills.
- Provide an example of an overdose of chemicals causing breathing problems.

Potential Discussion Questions

- Ask the participants to describe a workers' comp claim they are aware of.

TIME BAR (2 hour 30 minutes)

Speaker Notes

Responses to employee's allegation of sexual harassment include:
- establish clear written policy against it
- establish complaint process
- inform employees of complaint and resolution process
- take appropriate action to remedy the victim's loss
- take appropriate action against harasser
- take action to remedy situation and protect potential future victims
- take action to protect the employee complaining of harassment from additional harrassment

Be sure that complaint procedures have more than one avenue for complaintants to raise concerns. Copies of sexual harassment policy and complaint procedures must be available to all employees and the general public. Finally, it is a good idea to review current policies annually. Update and post changes as soon as possible.

Workers' Compensation Insurance covers work-related injuries and illnesses. The law requires all employers to carry workers' compensation insurance.

The money provided from workers' compensation:
- **provides for lost pay**
- **provides for reasonable and necessary medical expenses**
- **provides for retraining if necessary**
- **provides death benefits to survivors**

Workers' compensation may cover physical or mental illness, such as physical assault or job related stress.Workers' compensation benefits usually include all medical and rehabilitation costs, a percentage of income lost while recovering, death benefits to families of workers who die on the job, and compensation for partial or total disability.

Exercise: Sexual Harassment

How should you respond if an employee alleges sexual harassment?
An appropriate response by an employer where sexual harassment is alleged may include:

- Establishing a written sexual harassment policy which clearly states that sexual harassment will not be tolerated;
- Establishing a complaint process for the prompt, objective, and thorough handling of sexual harassment complaints;
- Ensuring that all employees are informed of your discrimination complaint process and sexual harassment policy prior to the need to know and again when a complaint is filed;
- Taking appropriate action to remedy the victim's loss, if any, resulting from the harassment - the department must act to make the employee whole (e.g. reinstatement, back pay, promotion);
- Taking appropriate action against the harasser where sexual harassment is found - whatever punishment is meted out to the harasser should be made known (within the limits of confidentiality requirements) to the victim to give them a sense of redress;
- Taking action to remedy the situation in a manner which protects potential future victims; and
- Protecting the employee(s) complaining of harassment from any form of reprisal/retaliation.

Also, complaint procedures need to allow more than one avenue for complainants to raise concerns. For example, it cannot require all complaints to be directed to the immediate supervisor since he or she may be the alleged harasser. To satisfy the intent of the law, employers must make their sexual harassment policy and complaint procedure readily available to all their employees and members of the general public utilizing their facilities/services. Merely keeping these documents in administrative manuals does not satisfy this intent. It is a good idea to **review your current policies**. If they are outdated, update and post the new sexual and other harassment policies as soon as you can. Copies of your new policy should also be distributed to all employees, as should any new policies in general.

> **Lesson 5: Regulations and The Law**
>
> *Workers' Compensation Insurance:*
>
> Covers your employees when they are made sick, injured, or are killed on the job. Money provided by worker's compensation insurance is meant to:
>
> - To make up for lost pay due to being unable to work
> - To pay for reasonable and needed medical expenses
> - To pay for retraining
> - To pay death benefits to survivors
>
> 37

Workers' Compensation Insurance
If you have employees, then you need to carry workers' compensation insurance. That's the law. Unfortunately, many small utility managers don't know a lot about their workers' compensation commitments. It's to your benefit to understand how this insurance works, where you can get it, and how much it will cost you.

What is workers' compensation?
Workers' compensation insurance, often called workers' comp, covers your employees when they become sick, injured, or die on the job.

This money provided by workers' compensation insurance is meant:

- ✓ To make up for lost pay due to being unable to work
- ✓ To pay for reasonable and needed medical expenses
- ✓ To pay for retraining needed if the injury or illness has harmed the employee beyond the point of being able to work at that job again
- ✓ To pay death benefits, to survivors of someone killed in a workplace incident

Lesson 5

Instructor Tips

- Provide handouts of the **Alaska Workers' Compensation Act**
- Participants will have clear understanding that Workers' Compensation is required and paid for entirely by the utility.

References

The Alaska Workers' Compensation Act

Ideas for Real Life Examples

- Provide an example of an operator drinking a liquid (six pack) lunch. Later he lost two fingers in a work accident when a pipe wrench slipped. Was he covered by workers' comp? Why or why not?

Potential Discussion Questions

- Ask the participants for examples of work-related injuries that received compensation or were denied compensation.

Speaker Notes

TIME BAR (2 hour 45 minutes)

Employers pay all workers' compensation costs.

- Employers must carry workers' compensation insurance for almost all employees (some part-time, temporary, unpaid volunteers are excluded – consult the state with questions).
- Workers' comp is no-fault, even covering employees who cause an injury.
- Employers **can't** fire, demote, or penalize employees for filing workers' comp claims.

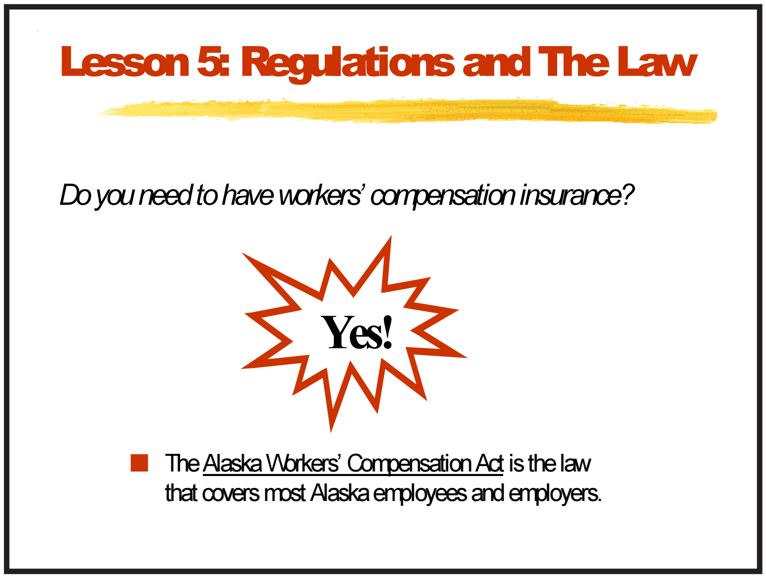
Injury means an injury or illness.

Workers' Compensation may be denied for an injury:

- caused by willful intent to injure or kill any person
- caused by intoxication of the injured employee
- caused by influence of illegal drugs

For example, if one of your employees fell off a ladder, your workers' compensation coverage would pay the medical bills, any necessary physical therapy, and roughly two-thirds of the wages lost while the person recovers from the injury.

Workers' compensation exists both as a way to benefit injured workers and as a way to protect employers. Before workers' compensation laws existed, serious injury to an employee could have bankrupted an employer. **Workers' compensation is a no-fault insurance system.** Carelessness on the part of workers or employers is not an issue in paying benefits.



Do we need to have workers' compensation?

If your utility has employees, then you need to carry workers' compensation insurance. Requirements vary from state to state - and Alaska is one of the strictest states of all.

The Alaska Workers' Compensation Act is the law that covers most Alaska employees and employers.

In Alaska, an employer must buy the insurance from a licensed insurance company or be self-insured. An employer cannot require staff to pay any part of the insurance premium. **If you do not have workers' compensation insurance, contact the state's Workers' Compensation Division or an attorney immediately.**

The Alaska Workers' Compensation Board and its staff, the Workers' Compensation Division, do not pay the actual benefits. They collect and provide information about the workers' compensation system and benefits. The Board also hears and decides disputed cases. It is the insurer who actually pays the benefits.

Definitions:

- INSURER means the insurance company or the self-insured employer. The insurer or its adjuster pays or denies compensation or medical benefits if an employee is injured.
- INJURY means an injury *or illness* caused by work conditions **after** September 3, 1995.

Coverage:

- Nearly all Alaska employees are covered. Commercial fishers are an exception, but some fish processor workers on floating processing vessels are covered. Other exceptions are include some part-time or temporary workers (consult the state with questions). Most unpaid volunteers are not covered, but some volunteer fire fighters and police officers and volunteer civil defense or disaster workers are covered.

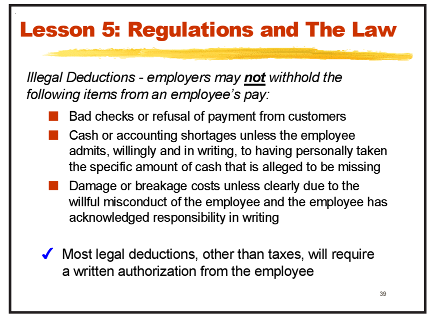
Compensation may not be allowed for an injury:

- caused by the employee's willful intent to injure or kill any person
- caused by intoxication of the injured employee
- caused by the employee being under the influence of illegal drugs

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Students will understand that prompt, thorough accident reports assure workers of proper benefits.



Ideas for Real Life Examples

- Provide an example of a legal payroll deduction (request in writing for utility bill).
- Provide an example of an illegal payroll deduction (utility charging employee for damaged water test kits).

Potential Discussion Questions

- Ask participants to provide examples of payroll deductions? Does their utility require written permission for a deduction?

TIME BAR **(3 hours)**

Speaker Notes

Prompt, thorough accident reports help assure workers of proper benefits.

- Insurers need detailed, written documentation of claims. Supervisors may help with accident reports and witness interviews.
- Health professionals diagnose the injury or illness, prescribe treatment, and provide information to the insurer.
- Reports for injury or death must be filed within 30 days.

Employers may <u>not</u> withhold the following items from an employee's pay:

- **bad checks or non-payment**
- **cash shortages or accounting shortages**
- **damage or breakage costs**

When Your Employees Are Injured

Your employees count on you to be the best leader and manager you can be. A great manager is one who gives employees as much as or more than they ask for. If you want to encourage employee loyalty, longevity, and dependability, you can help make up for the limitations of your tight budgets and low pay by giving them extra support when they need it. As an example, injury and illness can be horrible burdens. The Workers' Compensation Insurance system is designed to help with those burdens; however, keep in mind that it is a complicated paper-and-computer-based bureaucracy.

If all the proper forms are not filled out correctly and turned in promptly, or if any other mistakes are made in the documentation process, your worker's just claims may be denied. This means they not only won't get the help they need, but the help they did get may be billed to them directly. In turn, this means financial disaster for them and their family. If they come back to work and have to waste their energy trying to fight a paper system, their work for the utility will likely suffer as well.

By going the extra mile for your staff, you can help protect them from those potential mistakes. If you can, help your staff to fill out insurance forms, save receipts, and document every aspect of an injury or accident. When they are already injured or ill, it will take a load off of them to have your help along the way. Helping out will be one of the best employee benefits you can give. A few acts of kindness and consideration can make up for lower pay or other things your workers give up when working at your utility instead of one in a big city.

Time Limits—Reporting the Injury

Within 30 days after the injury or death, workers or the dependents of a deceased worker must give the employer and the Workers' Compensation Board written notice of the injury or death. If 30 days have passed and they have not given the employer written notice, contact the employee or their dependents and the Workers' Compensations Division.

Lesson 5: Regulations and The Law

*Illegal Deductions - employers may **not** withhold the following items from an employee's pay:*

- Bad checks or refusal of payment from customers
- Cash or accounting shortages unless the employee admits, willingly and in writing, to having personally taken the specific amount of cash that is alleged to be missing
- Damage or breakage costs unless clearly due to the willful misconduct of the employee and the employee has acknowledged responsibility in writing

✓ Most legal deductions, other than taxes, will require a written authorization from the employee

39

Illegal Deductions

Employers may not withhold the following items from an employee's pay:

- ☒ Bad checks or refusal of payment from customers
- ☒ Cash or accounting shortages unless the employee admits, willingly and in writing, to having personally taken the specific amount of cash that is alleged to be missing
- ☒ Damage or breakage costs unless clearly due to the willful misconduct of the employee and the employee has acknowledged responsibility in writing

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Refer to *General Guidelines for Employee Files* after the potential discussion question.
- Request a volunteer to read the case study.

References
- State of Alaska Local Government General Records Retention Schedule
- General Guidelines for employees files.

Ideas for Real Life Examples

- Provide an example of an employee lawsuit for unpaid overtime and the utility did not retained time sheets. Court ruled in employee's favor.

Potential Discussion Questions

- Ask the participants to list records kept in a personnel file. One file or two? How long?
- Ask participants if the administrator in the case study was fired or not? Justify their decision?

TIME BAR (3 hours 10 minutes)

Speaker Notes

Why are these deductions illegal? The courts have held that doing business has hazards and are the employer's burden for doing business. The employer has the opportunity to claim a loss through accounting or taxes while the employee has no opportunity to recoup the loss.

Most legal deductions, other than taxes, will require a written authorization from the employee.

The official employment history and employment actions must be kept by the employer for ten years after termination on all employers.

Employee time sheets and documentation of leave may be tossed after three years.

The Local Government General Records Retention is a tool municipal-owned utilities may use to assist in determining how long to retain personnel records. It is meant to be a guide only – each utility board should inventory their records and develop a retention schedule unique to their needs. As a result, unneeded documents may be discarded and less-active records may be transferred offsite to free up prime office space.

Exercise: Progressive Discipline

Why are these deductions illegal?

> The courts have held that doing business has hazards, and the employee shall not carry the employer's burden of doing business. The employer has the opportunity to claim a loss through accounting (or taxes) while the employee, whose check is reduced by such losses, has no opportunity to recoup the loss.

Most legal deductions, other than taxes, will require a written authorization from the employee. All deductions, especially those for room and board or payroll advance, should be identified clearly. There are no miscellaneous deductions. Any deduction must be identified.

Record Keeping

An employer's records are of primary importance, not only for good business practices, but also when a wage complaint is filed.

The official employment history and employment actions must be kept by the employer for ten years after termination on all employees. Employee time sheets and documentation of accrued/used leave must be retained for three years. For more information, refer to the State of Alaska Local Government General Records Retention Schedule.

Some employers think that record keeping is the employee's responsibility. The employee is not required to keep the records; it is the employer's responsibility under the law to keep records on all employees.

Progressive Discipline

Case Study

Failed Termination: The Guy Who Wouldn't Leave

We had one city where the council fired the administrator, but he ignored them and continued to show up and work every day.

There was only one other person in the office, the city clerk. She was a bit intimidated by someone with such strong will as this administrator. She knew he'd been fired, but was afraid of him.

She called the council and asked, "What do I do? Is he my boss?" Well, this was a great case of looking at *how did they fire him*?

It turns out the council had called him on the phone and said "You are fired. Don't show up to work."

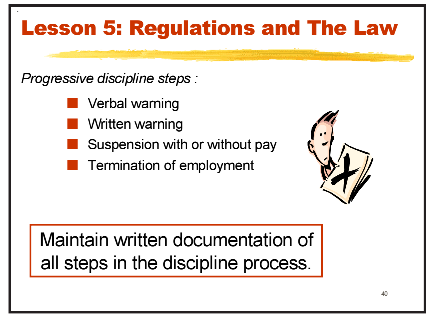
There was no documentation. There were no procedures for grievance or termination. There was no record of progressive discipline. No one was sure if he was really fired.

One of the most painful duties for managers is the dismissal of an employee. No matter how you feel personally about an individual, if the person cannot do his/her job, he/she may have to be terminated.

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Cover the topics on the slide and reveal them as each is discussed.



Ideas for Real Life Examples

- Provide an example of progressive discipline for a chronically absent or tardy employee.
- Provide an example of discipline for a bookkeeper accused of not recording cash payments.

Potential Discussion Questions

- Ask participants for examples of when progressive discipline is required.
- Ask participants for examples of situations that justify suspension or termination without verbal or written warnings.

Speaker Notes

TIME BAR (3 hours 15 minutes)

What is the purpose for progressively disciplining employees?

The purpose of progressive discipline is to state the utility's position on fair and consistent discipline for unsatisfactory conduct at work.

Progressive discipline steps normally followed include:

1st offense – verbal warning
2nd offense – written warning
3rd offense – suspension
4th offense – termination

Employees need an avenue to disagree with the discipline given. The utility should develop a grievance procedure and adopt it into their personnel policies and procedures manual. The sample manual in the appendix has an example of a grievance procedure.

Certain types of employee problems are serious enough to justify either suspension or termination immediately.

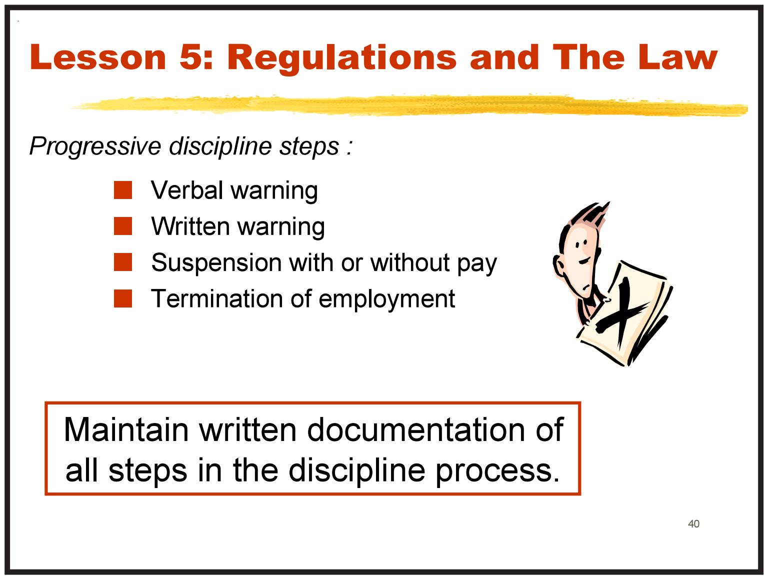
Maintain written documentation for all steps. The process starts over if the pattern of offense is not current. On all steps of documentation, always check for understanding and have the employee sign off that they understand the consequences.

Exercise: Practice Disciplinary Situation

But there is a long way between your dissatisfaction with the job the individual is doing and termination. To terminate anyone, regardless of their contract with the utility, you must show what is known as "progressive discipline."

The purpose of progressive discipline is to state your and the utility's position of fair and consistent discipline for unsatisfactory conduct at work. The best disciplinary measure is the one that does not have to be enforced and comes from good leadership and fair supervision at all employment levels.

It is in your best interest to ensure fair treatment of all employees and make certain that disciplinary actions are prompt, uniform, and impartial. The major purpose of discipline action is to correct the problems and prepare the employee for satisfactory service in the future.



Progressive discipline means that, with respect to most disciplinary problems, these steps will normally be followed:

- ❒ a first offense may call for a verbal warning
- ❒ a written warning may follow a second offense
- ❒ a third offense may lead to a suspension with or without pay
- ❒ a final offense may then lead to termination of employment

If the transgression has not been recent, the process will normally start over.

As a manager, you should recognize there are certain types of employee problems that are serious enough to justify either a suspension or termination of employment without going through the usual progressive discipline steps.

Discipline Procedures and Rules Checklist

Discipline procedures are designed to protect the utility and ensure fair treatment of all employees. Discipline may be required for safety violations, repeated absenteeism, or less than satisfactory work performance. Forms of discipline involving loss of pay, suspension, or loss of job must be reviewed and approved by a manager. Any employee disagreeing with the discipline given may use the grievance procedure. Each utility should develop their own grievance procedure.

In the appendix are two charts to help guide you in common steps in progressive discipline.

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Ask for a volunteer to read the case study.
- Discuss the case study and the options facing the community.

Ideas for Real Life Examples

Potential Discussion Questions

- Ask participants what steps would have prevented this situation. Was the time element a factor?

Speaker Notes

TIME BAR (3 hours 30 minutes)

Creating a paper trail to your disciplinary process may save you enormous difficulty in the future. Proper documentation of the discipline steps protect the utility if litigation happens.

Paper, Paper, and More Paper!

It would be difficult to overstress the importance of maintaining written documentation of all steps in the discipline process. What seems like a mutual understanding today may be forgotten tomorrow. Creating a paper trail to your disciplinary process can save you enormous difficulty in the future.

Some managers make use of a manager's log for recording and tracking their progressive discipline actions. It can be as simple as using a little spiral-bound notebook to make short entries when something happens. It is enough to write the date and time with a brief note like:

> "January 5, 2002: 10 AM. John was a half hour late today. I explained our policy on lateness and warned him to try harder to show up on time and to at least call in when he knows he will be late."

You can also add notes or reminders when you have sent out a memo, a letter, or posted a new policy. That way, if you have trouble two years from now, you don't have to remember each document; you will have a complete list.

Termination: For Cause vs. At Will

> Case Study
>
> Friendly Termination and Rehire — Importance of Documentation
>
> A community, due to money problems, decided to lay off their city manager. He voluntarily left, but it was kind of agreed upon that he was quitting because of the money problems and that once the shortage was resolved they would hire him back. That was the intention of all parties.
>
> Nothing was done in writing, it was just a verbal agreement. The guy just quit coming to work. At the time it was expected that it would all be resolved relatively soon, in about a year.
>
> Three years later, when they finally had enough money to rehire a manager, there was a misunderstanding about whether or not the original manager had rehire rights.
>
> "Did he quit or did he resign?"
>
> "Well, he kind of quit, you know," said one person.
>
> "Okay then," said another. "What paperwork do you have? Was anything done in writing?"
>
> "Well, um, no, we just kind of talked about it," was the answer.
>
> By now the council had turned over, the mayor had changed, and the people involved were all going just on recollection. Everybody's recollection was a bit different.

In this case, the community wanted their worker back. But he had a relation on the new council now, and it was feared that if they did hired him back without re-advertising the position, people in the community would look and think there were improprieties. The council was aware that there would be problems with the appearance of improprieties, although they knew there weren't.

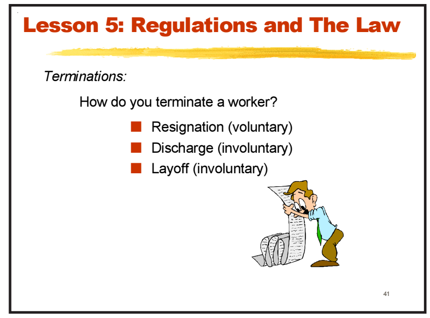
Being that nothing was in writing, they had to make a choice and face the consequences of whatever would happen. Given that one consequence could involve a lawsuit or other troubles, they chose not to rehire the man directly and to advertise the position first so anyone could apply.

By neglecting to document the layoff agreement in the first place, this community opened themselves up to a possibility of a lawsuit from either side whichever way they had gone. These kinds of problems could all be prevented with personnel policies and procedures and written documentation.

Lesson 5

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Participants will have a clear understanding of "for cause" versus "at will."



Ideas for Real Life Examples

- Provide an example of "for cause" employee (utility full-time operator) fired for dating the boss' wife.
- Provide an example of "at will" employee (city clerk appointed by council, temporary utility worker) fired for cause.

Potential Discussion Questions

- Ask participants for examples of "at will" and "for cause" employees.
- Ask students for examples of resignation, discharge, and layoff.

Speaker Notes

TIME BAR (3 hours 40 minutes)

There are two types of termination: "for cause" and "at will."

"For cause" = terminated because of a specific violation of utility rules or state law

"At will" = person does not have a long-term contract

The manner a person was employed determines how they may be terminated. If you hire "at will" employees and have a signed job acceptance letter acknowledging that fact, you won't generally need the same proofs to defend your firing decision.

Carefully document reasons for any firing or layoff.

- Know your policies and state the grounds for discharge.
- Have specific, written, valid reasons to make sure the employee understands the standards that they did not meet.

Firing employees is not illegal. It is illegal to fire them for discriminatory or retaliatory reasons. Be sure you can document solid job-related (performance) reasons before you fire any employee.

List and explain the most common circumstances under which any employment ends:

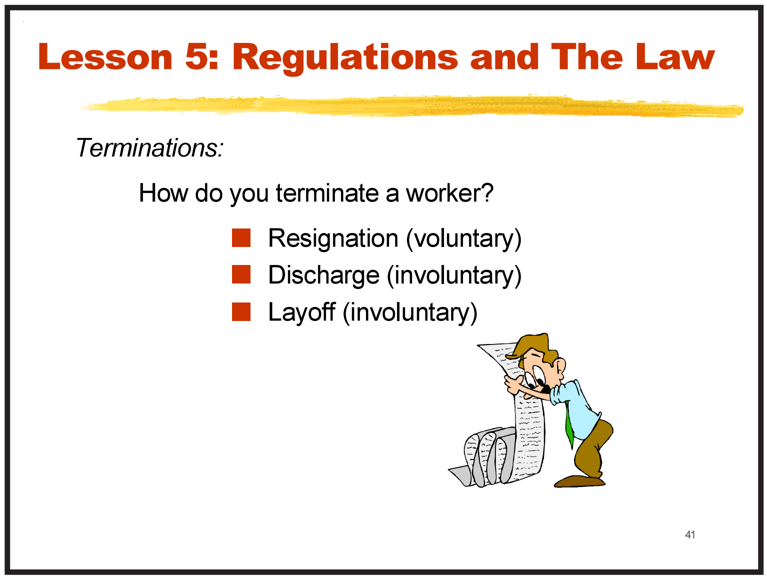
1. **Resignation (voluntary termination by the employee)**
2. **Discharge (involuntary termination initiated by the organization)**
3. **Layoff (involuntary termination initiated by the organization for financial or work-load reasons)**

Exercise: Are you at Legal Risk?

There are two types of termination: "for cause" and "at will."

- "For cause" termination means that the individual was terminated because of a specific violation of utility rules or state law. Threatening violence to a fellow worker or stealing company records, for example, are grounds for immediate termination "for cause."
- "At will" termination means that the individual does not have a long-term contract. An "at will" employee may be a substitute for a pregnant secretary or for someone who has broken his leg and is in the hospital in Fairbanks. "At will" employment is just that. The employee serves at the will of the manager. That employee can be released at any time and cannot claim that his/her appointment was permanent.

While you might want to get rid of a worker, the nature of your initial agreement with them will greatly determine the options you have. If you hired a person as an "at will employee" and you have a signed job acceptance letter acknowledging that fact, then you won't need the same proofs to defend your firing decision. On the other hand, if you've hired them as a regular, full-time, permanent, "for-cause" employee, you must make sure you have honored everything in their contract and administered progressive discipline and fair warning at every step of the process to protect yourself from a potential wrongful discharge lawsuit.



How do you terminate a worker?

No matter how good an employee is, sooner or later they will leave. Some retire. Some resign. Others are terminated. Below are examples of some of the most common circumstances under which employment ends:

Resignation

Voluntary employment termination initiated by an employee. While the specific policy directive needs to be written, reasonably three days without reporting to work or contacting the appropriate official may be considered a voluntary resignation, at the discretion of the employer. A resignation should be in line with the utility's written policy statements and signed by the employee when he/she is first hired.

Discharge

Usually called getting fired, this is an *involuntary* employment termination with or without cause initiated by the organization. Discharge is done in line with policy statements written by the utility and signed by the employee when he/she is first hired. It is most important to document discharges through an exit interview where the employee signs that he/she has received and understood the notice of their discharge.

Layoff

Involuntary employment termination *initiated by the organization for financial or work-load reasons*. In these circumstances, employees will receive their final pay in accordance with state law.

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References

The Fair Labor Standards Act

Ideas for Real Life Examples

- Provide an example of an employee terminating with 1,000 hours of leave. The utility did not have enough cash reserve to pay the final amount owed.

Potential Discussion Questions

- Ask the participants who is contacted when an employee is terminated? Why?

TIME BAR (3 hours 45 minutes)

Speaker Notes

A utility employer is required by Alaskan law to pay the final paycheck <u>within three working days</u> from the last day worked.

The check is in the mail! If the employee requested the check be mailed, have evidence that it was mailed on time.

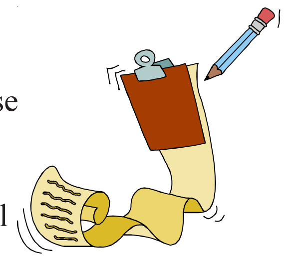
Penalties for late payment is the employee's regular wage from time of demand to time of payment or for 90 working days, whichever is the lesser amount.

The utility should have a checklist of individuals and agencies to contact once the employee is terminated. Contact should include anyone the employee had authority to conduct utility business with.

Employee benefits will be affected by employment termination in the following manner. All accrued, vested benefits that are due and payable at termination will be paid. The employee will be notified in writing of the benefits that may be continued and of the terms, conditions, and limitations of such continuance.

A layoff is not a discharge. Discharge means that the employee's connection to the utility has been severed and if the employee wishes to work for the utility again, he/she must go through the entire application/interview process. A layoff means that once the crisis has passed, the individuals affected will have first right of refusal for their former jobs within a certain period of time.

Timely Payment of the Final Paycheck



When an employee is terminated, whether by quitting or being fired or because the business burns down—it doesn't matter—the employer is required by Alaska law to pay the final paycheck within three working days from the last day worked. A statement of earnings and deductions must accompany the final payment.

Alaska laws, although based on federal laws, are much more restrictive than the federal laws. The Fair Labor Standards Act provides that where state law is more restrictive than the federal law, the state law will take precedence.

If the employee agreed to be paid by mail, the employer can avoid penalty for late payment by maintaining evidence that the check was mailed within the three-day period. Some employers establish a contingency fund at a local bank or have a petty cash fund to handle final payment. This reduces the employer's chance of paying the penalty.

The usual penalty is payment of the employee's regular wage, salary, or other compensation from the time of demand to the time of payment or for 90 working days, whichever is the lesser amount. It makes good sense to set up some sort of contingency fund for this purpose, or you could end up paying up to three months salary for someone who no longer works for you!

Remember, a clear understanding of the employee's pay, hours, and benefits up front will resolve most future problems.

Further, as an employer, you should have a checklist of individuals and agencies to contact once the employee has been terminated. These should include:

- ✓ City Council
- ✓ Actual owner of the utility
- ✓ Board of Directors of the utility
- ✓ Bank if the employee had signing authority
- ✓ Insurance company
- ✓ Firm handling retirement paperwork
- ✓ Security personnel
- ✓ Appropriate government agencies
- ✓ Vendors

Lesson 5

Instructor Tips

Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (4 hours)

Speaker Notes

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

Action Plans:

1. ____

____

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____

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2. ____

____

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3. ____

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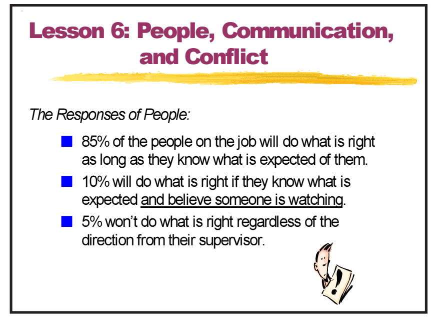
Lesson 6

Instructor Tips

Lesson 6 will take 4 hours to complete.

- Remember that text in red represents a worksheet or test question.
- Students will clearly understand why dealing with people is a manager's biggest challenge.

Slide A



Slide B

Ideas for Real Life Examples

- Provide an example of two employees reacting differently to one situation (offensive or defensive reaction to service complaint).

Potential Discussion Questions

- Ask participants why employees react differently to the same conflict.
- Ask participants if they agree with the 85%, 10%, 5% rule. Why? Why not?

Speaker Notes

TIME BAR (10 minutes)

Of the five resources a utility manager has to manage, people are the most valuable.

People are also the resource that will take the most time. If you are aware of the differences in human nature and have effective methods to deal with each, your utility will run smoothly. If you are a manager who lacks an understanding of people and conflict, your job will become a nightmare of wasted time.

Most managers agree that the management of people is the most difficult part of the job. People do not respond to situations in the same manner as others, nor do they always respond to the situation the same way each time. People often respond based on their personal values and beliefs instead of intellect.

85% - people on the job do what is right if they know what is expected
10% - people do what is right if they know what expected and think that they are being watched
5% - people won't do what is right regardless

Lesson 6: People, Communication, and Conflict

Introduction

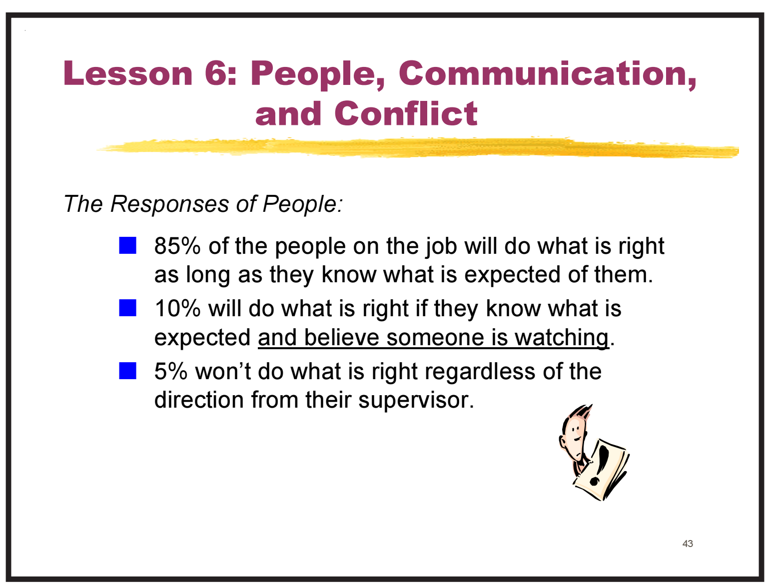
The Five Resources

Of the five resources a utility manager has to manage—information, people, time, money, and assets—people are the most valuable. They are also the resource that will take most of your time. That's good because you don't want employees who are robots. What you want are clear thinking individuals who keep the mission of the utility uppermost in their mind.

If you manage your staff skillfully, your utility will operate with few problems. If you treat your staff poorly, personality conflicts will often result turning routine jobs into a nightmare of wasted time.

How People Respond

Most managers agree that the management of people is the most difficult part of the job. When we manage things, we can predict how they will respond. There are only 60 minutes in every hour; that never changes. People, on the other hand, do not always respond in the same way, and they do not always respond in the way the manager anticipates. People are emotional beings, not machines, and often respond with feelings instead of intellect.



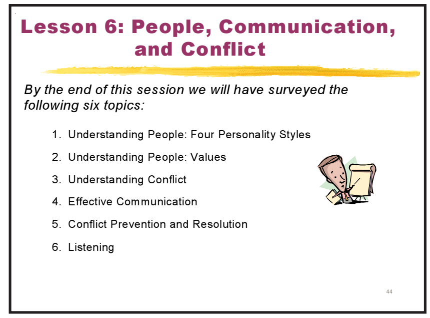
Studies show that about 85% of the people on a job will do what is right as long as they know what is expected of them. Another 10% will do what is right *if they know what is expected* and *believe someone is watching*. About 5% of the work force won't do what is right regardless of the direction from their supervisor.

Unfortunately, most managers find that they spend 80% to 90% of their personnel management time dealing with the 5% who "*just don't get it*," to use a common phrase. If a manager can take a small portion of this time

Lesson 6

Instructor Tips

- This is an overview slide to let students know what will be covered in this lesson.
- Don't spend too much time on this slide as additional slides follow with more detail.



Ideas for Real Life Examples

- Provide an example of a utility clerk unable to deal with customer interruptions. What options (hire part-time help, limit customer hours, fire clerk) does the manager have?

Potential Discussion Questions

- Ask participants for one word to describe their best boss. One word to describe their worst boss. List responses on a flip chart in two columns. Discuss which answers relate to personality, communication, or listening skills.

TIME BAR **(20 minutes)**

Speaker Notes

Provide a brief overview of the topics that will be presented in this section:

Personality styles
Causes of conflict
Effective communication
Win-win approach
Listening skills

Present this slide as an overview of the six components to be discussed in this lesson. They are:

Understanding people – four personality styles
Understanding people – values
Understanding conflict
Effective communication – feedback, filters, methods
Conflict prevention and resolution – win-win approach
Listening – your most important skill and how to improve it

and use it to give direction to the 85% who want to know what to do, then the organization would be much more effective. How can this be accomplished? First and foremost, by enhancing the manager's ability to understand people, he can work with them to prevent and resolve conflicts.

Overview of This Lesson

People are complicated, but they can be understood. People get upset with each other, but that can be overcome. Exploring methods to develop management skills is what this lesson is all about. Understanding your employees is the key to helping them work together (and with you) effectively. There are many models people use to understand each other.

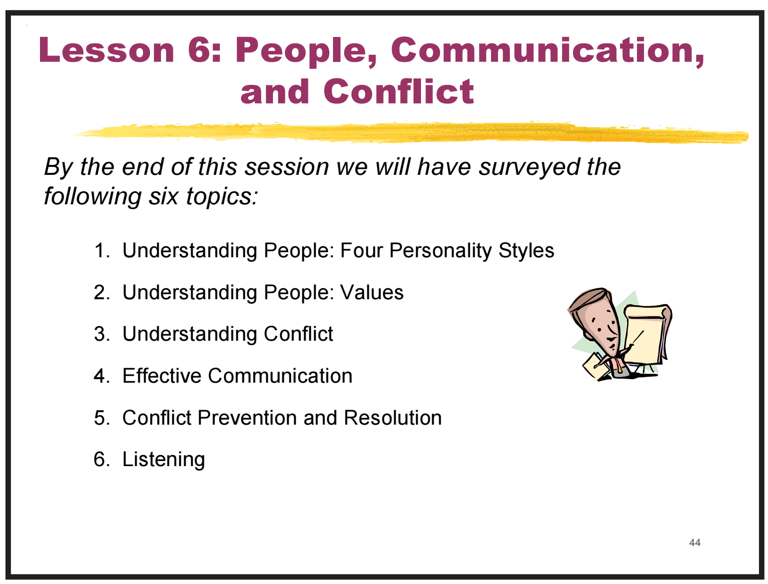
First we will use one model to explore the concept of people having personality styles or set patterns in the way they see and react to things. While the particular model you use is not that important, the concept that people have styles and that you can identify and keep them in mind is where we start today's exploration. We will continue it by examining values, another lens you can look through to try to understand your staff.

Next, we will examine the nature and causes of conflict and the mechanics of effective communication (the sending and receiving of ideas). Conflict is a normal part of life, and understanding conflict can help us deal with it with minimal effort. Most conflict is caused by the breakdown of communication, so our exploration of the nature of conflict will lead us right into the nature of communication.

The rest of this lesson will be an exploration of some techniques to improve your communication and thereby prevent or solve conflicts in the workplace. We will discuss the value of a good attitude and the Win-Win Approach to personnel management. Finally, we will learn about listening including a clear-cut approach to improving your own listening skills.

By the end of this session, we will have discussed the following six topics:

1. Understanding People: Four Personality Styles
2. Understanding People: Values
3. Understanding Conflict
4. Effective Communication — Feedback, Filters, and Methods
5. Conflict Prevention and Resolution — The Win-Win Approach
6. Listening — Your Single Most Important Skill and How to Improve It



Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Use this slide to introduce the four personality styles.
- Don't spend too much time on this slide as additional slides follow with more detail.

Ideas for Real Life Examples

- Provide an example of two utility operators with same duties – one completes daily logs and water tests routinely, one does not. One operator deals well with customer complaints, one does not.

Potential Discussion Questions

- Ask participants how they interpret the saying "walk to the beat of a different drummer."

TIME BAR (30 minutes)

Speaker Notes

You must have an understanding of why and how people behave to be an effective leader and manager. You can influence behavior if you understand where people are coming from.

Personality conflicts are to be expected and the utility manager can help solve them by identifying personality styles and values.

People do things for their own reasons, not yours. Keep in mind that most of the differences boil down to **<u>four categories of personality styles.</u>**

Steady - team player, stable worker
Competence - likes to solve problems
Dominance - concerned with results
Influence - relationship oriented

The majority of each person's behavior can usually be classified in one of these styles.

In order to be effective in both leadership and management, you must have some understanding of why and how people behave as they do. If you understand where people are coming from in their behaviors, you have a better chance to influence that behavior. In an effort to understand people, we begin with a discussion of some human characteristics.

Understanding People—Four Personality Styles

People often respond to feelings rather than logic. They do things for their own reasons, not yours. We all walk to the beat of a different drummer. That's what makes us different. It's not so much WHAT we know that makes us different but HOW we think. Personality conflicts are to be expected and the utility manager can help solve them by identifying personality styles and values.

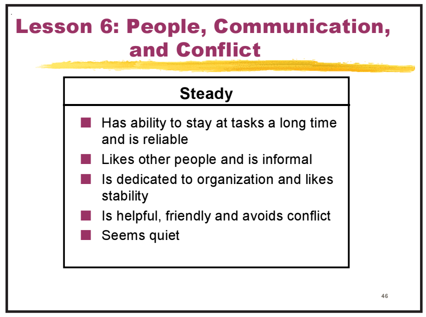
Whenever you deal with individuals, keep in mind the old saying that "all people are different." Indeed they are. Some of us are idea people; others are more interested in personalities than things. Some are motivated by details, others by organization. Maintaining stability and the *status quo* drives some, while making change motivates others. Research into how we do things and why we are all different has lead to the conclusion that different but normal behaviors of individuals can be placed into clear categories.

While there are many various methods of identifying and categorizing personality styles, we will explore only one of these. Marston's Theory of personality types uses four names to identify categories of behaviors. They are: Steady, Competence, Dominance, and Influence. Each person can display behaviors that fit into all four categories. However, the majority of normal behavior for any individual can usually be classified in one of these four personality styles.

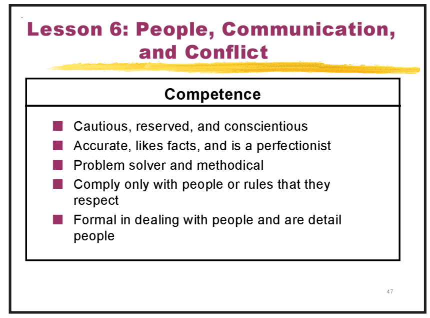
Lesson 6

Instructor Tips

- Use these slides to identify common characteristics of each personality style.
- Divide a flip chart into four equal sections and title each section with a personality style.



Slide A



Slide B

Ideas for Real Life Examples

- Provide an example of a "steady" employee as project manager (not efficient with constant change and necessary risks or choices) and an example of "steady" employee as data entry clerk doing repetitious work. Which suits which personality style and why?

Potential Discussion Questions

- Ask participants to suggest job assignments for steadiness and competence and list these on the flip chart. Ask participant to justify their suggestion.

TIME BAR **(40 minutes)**

Speaker Notes

Steady traits:

People person	Stable	Appreciates praise
Reliable	Team members	Steady
Informal	Close friendships	Likes goals
Friendly	Loyal	Likes timetables
Helpful	Prefers structure	Conscientious
Avoids conflict	Resists change	Seem quiet

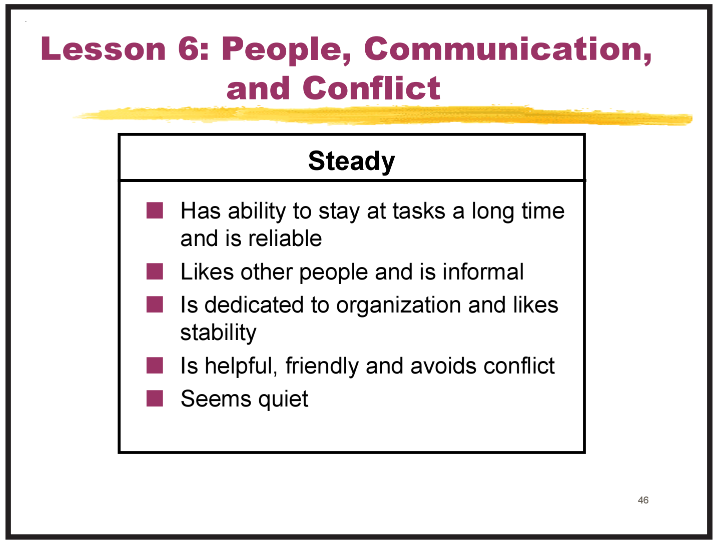
The steady type are conscientious team players; they are the doers who provide strong support.

Competence traits:

Problem solver	Perfectionist	Detailed
Formal	Factual	Accurate
Reserved	Careful	Seem serious
Methodical	Critical thinker	
Conscientious	Analyze data	

Competence types are valuable to the team because they can analyze problems and help other people solve their problems. The competence type will comply only with people or rules that they respect. They do not work well for a boss who was appointed for political rather then professional reasons.

Steady



For those identified as **Steady**, the most important thing is being part of a team. At work, the steady person seems quiet or reserved; however, they are also friendly and loyal. They listen to other people's questions and problems. They are patient. They like to belong to groups, and they appreciate it when people praise them. They try to avoid conflicts with other workers and managers.

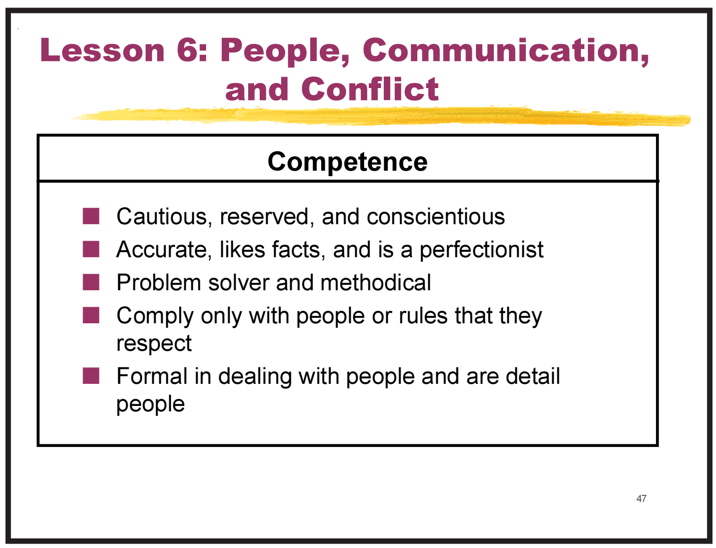
"Steadiers" are important to the team because they like people and because they are steady and conscientious workers. They also like jobs that are structured with goals and timetables. Usually they do not like changes at work. They like other people to suggest changes. When decisions are made, they like to be asked their opinion.

Ways to describe the **Steady** personality type:

People person	Informal	Helpful	Stable
Reliable	Friendly	Avoids conflict	Seems quiet

Types of jobs they like: City Clerks, Office Clerks

Competence



The **Competence** type likes to solve problems. They are experts at critical thinking and analyzing data and facts. They are thorough in their work. Other people may believe they are slow when they are really being very careful.

Competence types are valuable to the team because they can analyze problems and help other people solve their problems. They may be seen as overly critical.

Competence types seem serious. They do not talk a lot about themselves and will not try to make friends with everybody. They will form a close relationship only after they know the other person well.

Ways to describe the **Competence** personality type:

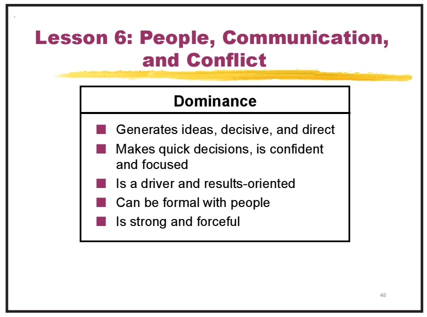
Problem solver	Reserved	Conscientious	Factual
Formal	Methodical	Perfectionist	Careful

Types of jobs they like: Bookkeepers, Water Plant Operators

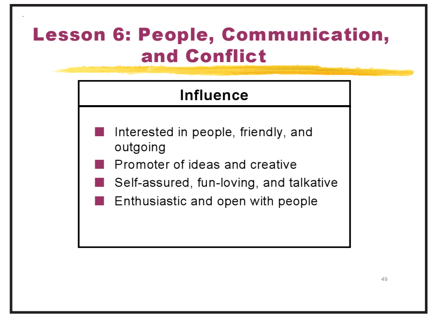
Lesson 6

Instructor Tips

- Use these slides to identify and discuss characteristics common to each style.
- Finish flip chart on personality styles.



Slide A



Slide B

Ideas for Real Life Examples

- Provide an example of a dominance personality supervising an inducement personality (both generate ideas, one directs people what to do while one motivates).

Potential Discussion Questions

- Ask participants what personality style they would like as a supervisor. Why?
- Ask participants what personality style they would like to supervise. Why?

Speaker Notes

TIME BAR **(50 minutes)**

Dominance traits:

Risk-taker	Result-oriented	Control freak
Decisive	Fast	Independent
Confident	Direct	Ambitious
Focused	Forceful	Forgets to praise others
Formal	Generates ideas	

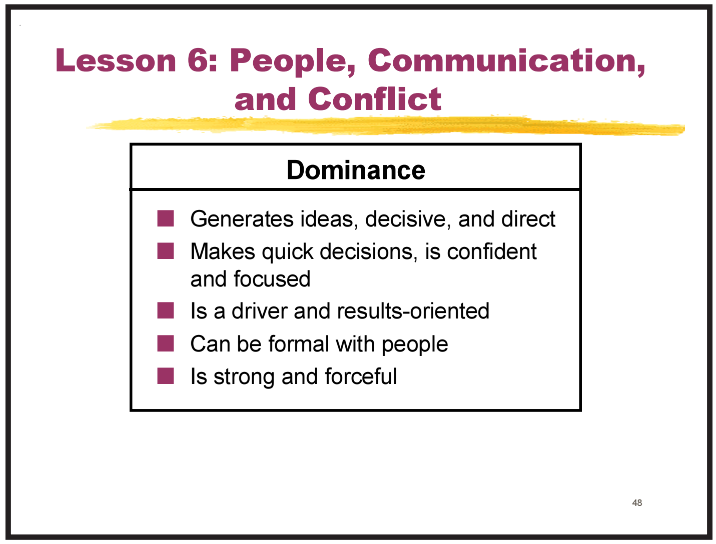
Dominance people are important to the team because they like to make decisions and see things happen fast. Dominance types remember to tell people when they do not meet an objective, but they may forget to praise people when they do something right.

Influence traits:

Creative	Open	Not detailed
Friendly	Visionary	Relationship-oriented
Fun loving	Motivational	Talkative
Enthusiastic	Innovative	Seem disorganized
Self-assured	Intuitive	
Outgoing	Emotional	

Influence types help the team by offering lots of new ideas. Influence types may ignore important facts in problem solving situations.

Dominance



For **Dominance**, the most important thing is results. They usually are strong and forceful and like being in control of the situation. They like to make results happen fast.

Other people may see them as independent, ambitious, and not afraid to take risks. They may also think that they are arrogant and pushy. Dominance types remember to tell people when they do not meet an objective, but they may forget to praise people when they do something right.

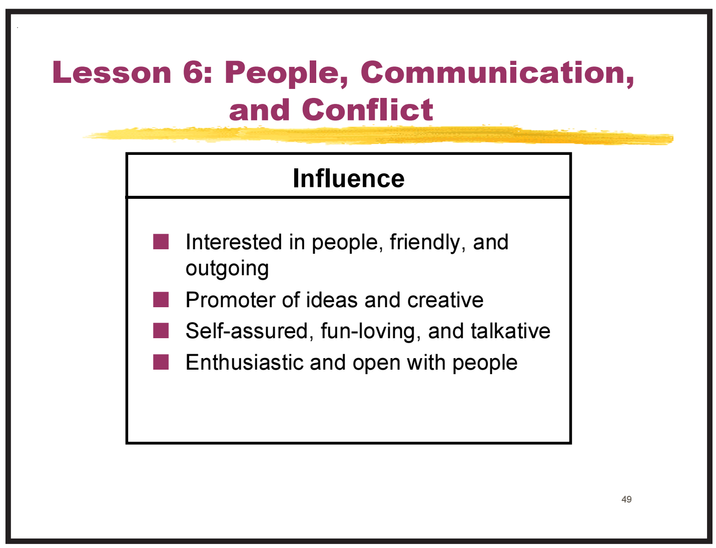
Dominance types are important to the team because they like to make decisions and see things happen fast. Results are important to them. It may be difficult for other people to grow close and know them well on a personal basis.

Ways to describe the **Dominance** personality type:

Risk-taker	Confident	Formal	Fast
Decisive	Focused	Results-oriented	Direct

Types of jobs they like: Utility Manager, Administrator

Influence



Influence types are relationship-oriented. They like opportunities to be innovative and to motivate others. They are friendly and have many new ideas. They use intuition more than reason to solve problems. They bring a lot of energy to work and help other people cooperate when they work together.

Influence types help the team by offering lots of new ideas. They are not interested in the details and may ignore important facts in problem solving. Other workers may think they are too fun-loving, emotional, and disorganized. They may not work well with overly critical people.

Ways to describe the **Influence** personality type:

Creative	Fun-loving	Self-assured	Open
Friendly	Enthusiastic	Outgoing	

Types of jobs they like: Councilmember, Utility Board, Planners

Lesson 6

Instructor Tips

- Students should understand which personality styles are process oriented and which are product oriented.
- Students will develop techniques to communicate based on recognition of personality style.

Ideas for Real Life Examples

- Provide an example of an influencing supervisor assigning a task to a competence employee (not enough detail given in the assignment).

Potential Discussion Questions

- Ask participants for examples of duties to assign to each personality style and why? Steady? Competence? Dominance? Influence?
- Ask participants to share a work experience of two personality styles clashing.
- Ask participants to describe different approaches to assigning the same work task to different personality styles.

Speaker Notes

TIME BAR (1 hour)

Refer to the student worksheet in the student manual on Marston's Theory and discuss the different methods to communicate or assign work.

Communications for: Dominance — e-mail, memo, fax, written

Influence — oral, one-on-one, demonstration

Competence — step-by-step written instructions

Steadiness — staff meetings, oral

Exercise: Understanding Personality Styles

Okay, now that we've described these four personality types (Steady, Competence, Dominance, and Influence), let's review the following work sheet and see how understanding each type can help us learn to respond to them differently.

Work sheet: Personality Styles — Techniques for Communicating

Process Oriented
Active

Dominance
- Directness
- Driver
- Generates Ideas
- Quick Decisions

Tends to shape the environment according to their view.

Influence
- Inducement
- Interested in people
- Promoter of ideas
- Talkative

Marston's Theory

Product Oriented
Less Active

Competence
- Compliance
- Cautious
- Accurate
- Detail Person
- Comply only with people or rules that they respect

Tends to develop ways to work within existing environment.

Steady
- Stability
- Ability to stay at a task a long time
- Listens
- Dedicated
- Specialized

Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Students will understand that personality styles describe behavior and not the person.
- Emphasize that an employee's values are established by age 10 from all the experiences affecting that person.

Ideas for Real Life Examples

- Provide an example of dominance style evaluating a competence without understanding style differences (mistaking cautious for indecisive, careful for slow)

Potential Discussion Questions

- Ask each participant for one value that affects his or her work style. Did a childhood experience influence that value (punctuality, tardiness, absenteeism, honesty)

Speaker Notes

TIME BAR **(1 hour 10 minutes)**

Personality styles describe behavior in a positive way. Research shows that our individual style is set at birth. Each style has strengths and weaknesses. Managers who recognize the styles and utilize the strengths when assigning tasks will be the most effective. Adapt the work task to the employee's strength when possible.

If you have a clerk who is not a people person, what accommodations can you make? A water operator who does not pay attention to detail or keep logs?

Our personality style is a description of how we do what we do.

Value defines what is important to each of us. We are born with personality styles while values are adopted or chosen.

Childhood experiences prior to age ten establish basic values.

Punctual versus tardy (village time)
Toss litter versus pick up litter
Volunteer versus work only for pay

Exercise: Fuzzy Meanings

Personality Styles Describe the Behavior — Not the People

Note that these styles do not describe the person but allow us to describe *their behavior* in a positive way. Each person is much more complicated than just a set of behaviors. The use of style labels or names is just a tool to help us work creatively and to realize that what works best with one person may not work well with another.

Researchers agree that we are born with our individual personality "style." This personality style is the guide to how we do what we do. If we understand our style and the styles of the people we work with, we can interact more productively. We can reduce personality conflicts because we understand why we behave as we do.

The differences in how we behave, as dictated by our personality style, can cause conflict with others. For instance, some personality styles make quick decisions, while others are more comfortable taking their time to evaluate all aspects of the problem before making a decision. Some personality styles use confrontation as a way to clarify issues, where others avoid confrontation at almost any cost.

There are no bad personality styles, just different ones. Each style has its strengths and weaknesses. The best results in an organization come from a manager's ability to utilize the strengths of the various styles to form a strong organization. The most important thing to remember about personality styles is that we are all different. Each of us understands things differently; that's what makes us individuals.

Understanding People — Values

Personality styles define *how we do what we do*; values define *what is important* to each of us. We have a collection of personal values that explains why we do what we do. Unlike our personality style, which we were born with, values are adopted or chosen by each individual.

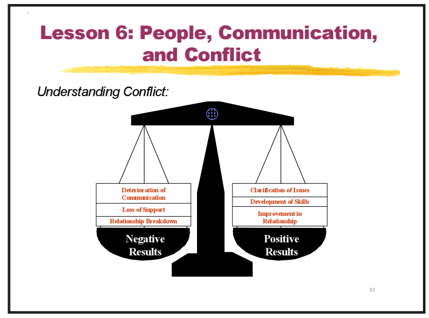
Most people have established their basic values by the age of ten. The formation of these values come from whatever is going on around the child, such as family, friends, church, media, school, and community. In this instance, it does take a village to raise a child, and that child will carry the morals, values, and behaviors of the village throughout his/her entire life.

Because each of us is different, there will be conflicts. Personal conflicts occur between generations as well as between people who grew up in different parts of the world. This is a clash of cultures as well as one of personalities. Where we grew up adds yet another factor into the mix. Someone who

Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Students will clearly understand both the positive and negative results of conflict.



Ideas for Real Life Examples

- Provide an example of two utility employees connecting a customer service line – one stays on the equipment and one grabs a shovel to assist the customer backfill the ditch.

Potential Discussion Questions

- Ask participants to provide an example of an employee conflict with positive results. An example with negative results. What steps may have altered the negative results to positive?

Speaker Notes

TIME BAR (1 hour 20 minutes)

Understanding our own and another person's personality style and value system allows us to be more effective in dealing with that individual. It is not likely that you can change an employee's values, nor is it appropriate to try to in a work setting. Adapting the situation to the person's personality style and value is effective management.

Negative results of conflict:

- Deterioration in communication
- Loss of support
- Breakdown in relationship

Positive results of conflict:

- Clarification of issues
- Development of skills
- Improvement in relationships

Conflict resolution techniques include:

- Clarification of issues by both parties
- Development of a possible resolution
- Agreement on implementing the solution
- Developing an understanding of each position

grew up in New York City may view the world far differently from one who was born and raised in a village above the Arctic Circle.

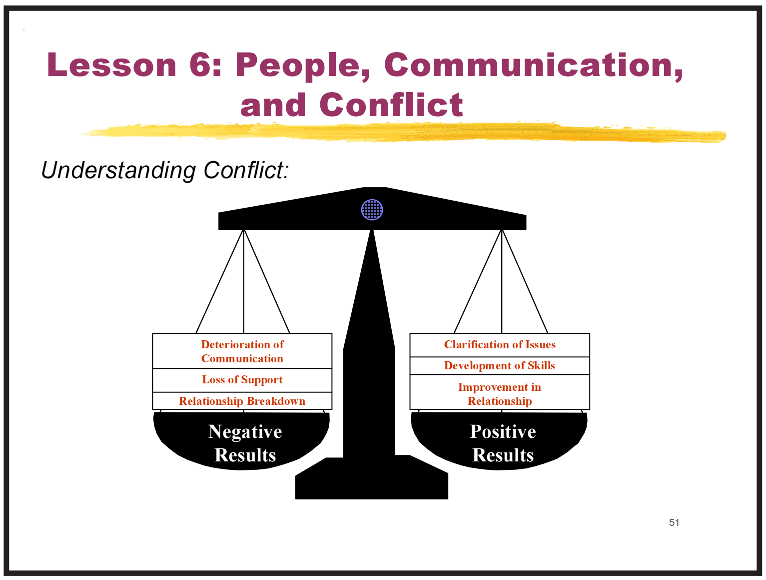
Understanding our own and another person's personality style and value system allows us to be more effective in dealing with that individual. The more we know how someone ticks, the better we are at getting along with them. When we have a disagreement with someone we know well, we will know if it is about facts or assumptions. Disagreement over facts can be resolved by research.

On the other hand, a lot of our behavior is based on our values. Stopping on a road to help someone that is stranded in a broken-down vehicle is based on our values. Disagreement over values cannot be easily resolved. We are not likely to change another individual's values, nor is it appropriate to try to do so in a work setting.

One of the keys to effectively working with others is to adapt the situation to the person's personality style and values. As a manager, that's your responsibility. For example, if a manager knows that a worker prefers to work with people rather than equipment, then the manager may be able to select work that is more rewarding to the worker. Consequently, the worker will be more effective.

Understanding Conflict

Conflict between individuals and groups usually occurs over values or personality style. Conflict happens anytime two or more people perceive that what each one wants is incompatible with the other. The outcome of conflict can be either positive or negative depending on the individuals' skills in resolving conflict.



The negative results of conflict include:

- ☑ A deterioration in communication
- ☑ Loss of support
- ☑ A breakdown in the relationship

The positive results of conflict include:

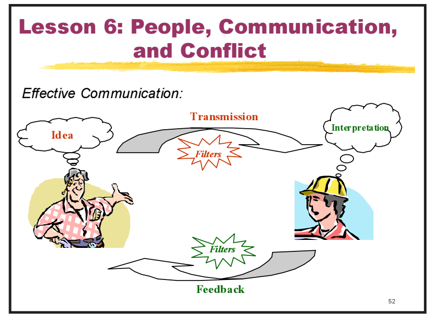
- ☑ Clarification of issues
- ☑ Development of skills
- ☑ Improvement in relationships

Conflict resolution requires the development of unique skills, a great deal of practice, and the use of proven techniques. One of the most popular techniques includes clarification of the issues by both parties, development of a possible resolution, and agreement on implementing the solution. Above all, conflict resolution requires developing an understanding of each other's positions.

The easiest conflicts to resolve are those regarding methods. The most difficult are those based on values. If you determine what the values underlying a conflict are, then you can start to address

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Discuss the two employees with opposite styles and values (Page 92 student guide).
- Students will clearly understand the steps of effective communication.



Ideas for Real Life Examples

- Provide an example of successful conflict resolution in a win-win manner (slow meter reader affects clerk's billing procedures).
- Provide an example of effective communication (thorough job assignment instructions).

Potential Discussion Questions

- Ask participants to describe a person with good communication skills. How, what, why makes that person a good communicator?

TIME BAR **(1 hour 30 minutes)**

Speaker Notes

Two employees working as a team – one is punctual and works fast, one is more relaxed about when and how to work. Identify the potential conflict and a method to solve it.

By first identifying the underlying values, you can begin to work out new methods in a win-win manner.

Communication is the process of transferring ideas and understanding from one person or group to another.

Effective communication depends on the speaker receiving feedback to ensure the message was received. Feedback demonstrates the receiver's interpretation of the sender's idea.

Both must be transferred or the communication is ineffective.

Effective communication	-	positive change
Ineffective communication	-	negative change
No communication	-	no change

Draw a diagram of effective communication.

Exercise: THE COAT

methods to help solve the conflict. As an example, take two individuals working as a team in a small office. One person might place a high value on showing up on time and finishing the task at hand as soon as possible. The other might have more of a relaxed attitude, but she still gets the job done by quitting time.

The first person might be quite upset that his coworker doesn't show up on time while the latter believes that as long as the work gets done competently there's no reason to hurry the process along. The first employee is always pushing to finish early, and the second employee has budgeted her time to finish and is furious at being forced to work faster because she knows she might make mistakes.

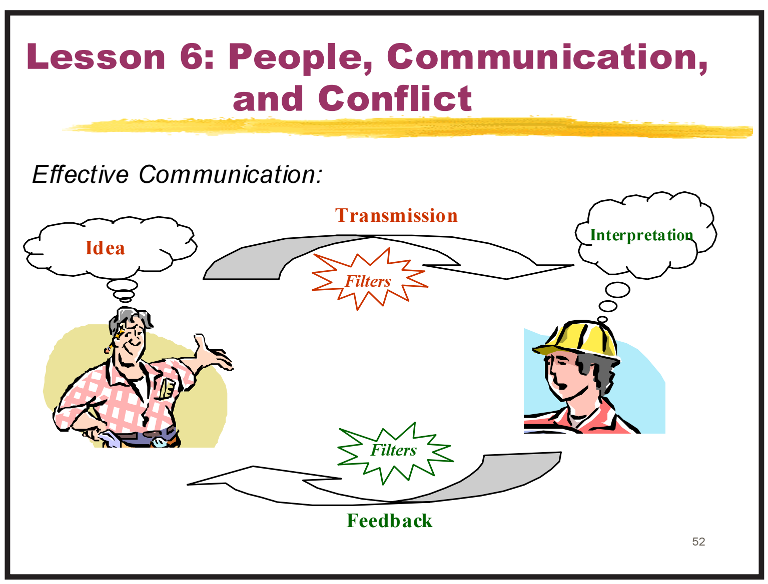
In a case like this, the key to conflict resolution is to find a way of ensuring the first employee that the task will be finished on time and urging the second to be a little more understanding of finishing before the last possible second. Alternatively, finding a way to separate their share of the tasks could solve their problem. Perhaps each could operate independently of the other and not be effected by their coworker's pace.

In this way, by first identifying the underlying values, you can begin to work out new methods in a win-win manner.

Effective Communication — Feedback, Filters, and Methods

Communication is the process of transferring *ideas* and *understanding* from one person or group to another. The sender communicates an idea to the receiver. Understanding is conveyed in turn, through responses from the receiver to the sender. This feedback demonstrates the receiver's interpretation of the sender's idea. Unless both are transferred, the communication will not be effective.

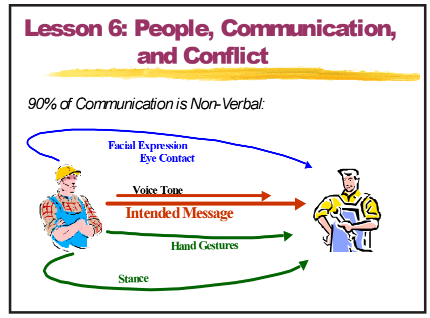
Effective communication can be used, among other things, to change the behavior of a person or group. That is, to cause someone to start, stop, or change directions. In order to determine if our communication is effective at creating this change, we need to observe behavior. When the communication works as desired, a positive change results. If negative behavior results, the communication was unsuccessful. If nothing changed, there was no real communication. The behavior change is the part of the feedback used to verify and clarify communication.



Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Ask for a volunteer to read each example. Discuss the results of the lack of communication in each.



Ideas for Real Life Examples

- Provide examples of non-verbal communication (hand up for stop, eyes rolling for impatience). Go around the room asking each participant to provide an example of a non-verbal communication.

Potential Discussion Questions

- Ask participants to pair off and repeat the following sentence to each other three times using different non-verbal communication "Your water service is shut off for non-payment." Describe the different reactions to the different manner of delivery.

Speaker Notes

TIME BAR **(1 hour 40 minutes)**

Communication consists of:

Person or group forms an idea
Idea is sent
Person or group receives idea
Responses exchanged to indicate idea received and understood

What percentage of communication is verbal? 10% Non-verbal? 90%

Remember that when nonverbal communication contradicts verbal communication, the verbal message is not believed.

Exercise: Hand to Chin

In order for communication to take place, four steps must occur:

1. One person or a group forms an idea.
2. They now send the idea.
3. Another person or group receives the idea.
4. Responses back and forth between the two indicate that the idea was received and understood in the manner intended. This feedback forms a continuous loop or circle used for clarification and correction of the information.

Here are two examples of the importance of feedback:

A customer sees a small leak at the water tank and tells the utility operator. The operator thinks the leak must be major or the customer wouldn't be telling her about it. Without a response, the customer will not know that the operator has a different idea. The operator might ask, "How big is the leak? How long would it take to fill a 5-gallon bucket? A minute? Two?" "Oh, no, more like a couple hours," says the customer. Now the communication is much better and both understand the nature of the leak.

Or:

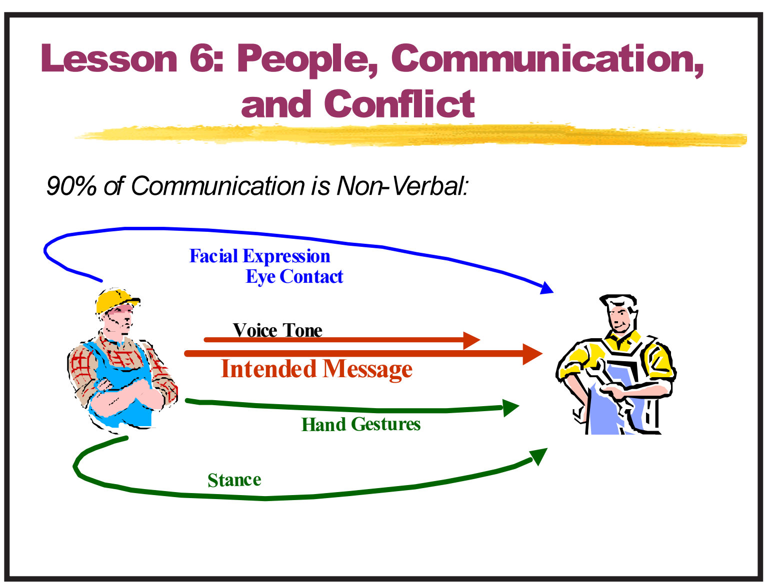
In another case, a utility operator calls a pump supplier in Anchorage to tell him the well pump has burned out, and the village is about out of water. The operator means that they have 15 to 20 days of water left, but the pump supplier imagines there is less than a day of water. Without feedback, the operator will not know that the supplier has perceived a different situation. "Can you make it until tomorrow morning's flight, or should I charter a special plane to bring you a new pump?" asks the supplier. "Oh, we're OK for a couple weeks with what's in the tank," is the answer to clarify the situation.

Controlling the Whole Message

It is very easy for each of us to control the information of the message. But the nonverbal, emotional portion of a message is much more difficult to control.

When we communicate, we should be aware of the nonverbal messages that we send, receive, and interpret, especially when we realize that up to 90% of communication is nonverbal. When there is a conflict between the verbal and nonverbal portion of a message, we do not trust the message.

For example, if someone says he is sorry that an incident occurred and is grinning at the same time, we do not trust the message or the speaker. We have a tendency to trust the nonverbal message more than the verbal.



Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Emphasize the components to effective communication.
- Cover the topics on the slide and reveal them as each is discussed.

Ideas for Real Life Examples

- Provide an example of a manager telling the employee to "cut it out."
- Provide an example of a manager passing job assignments through one employee to another (third party, no feedback)

Potential Discussion Questions

- Ask participants for examples of each basic method of communication.
  - ◆ Which do they prefer?
  - ◆ Why?
  - ◆ Do they have an example of good or poor communication?

TIME BAR (1 hour 50 minutes)

Speaker Notes

Subconsciously we filter messages. When speaking, we only provide the receivers with the information that we believe they want. When listening, we only listen to the portion that interests us. (Kid brings home a report card, tells parent "I passed." Grade was a D–.)

Effective communication:
Both sides understand the process
Both sides listen well
Both sides have an interest
Both sides understand basic roadblocks (filters)

Listening is most important – 60 to 70% of manager's communication time is listening.

Basic methods of communication:
Face-to-face (most effective due to verbal and nonverbal feedback)
Written (documented)
Phone (immediate feedback regardless of distance)
Electronic (distance, time, documented)
Third party (only when no other method is available)
"Reading between the lines" (guessing)

Exercise: How to Communicate

Filters

In addition to the problems presented by verbal and nonverbal messages, we also subconsciously filter information. When speaking, we tend to only provide the receivers with the information that we believe they want. In turn, we tend to only listen to the portion of the message that interests us. Some people manage to block out anything said to them in writing or by someone of a certain type (race, gender, education, age, etc.). For example, we will "not bother someone" with memos, letters, notices, or mail we feel they do not need.

The most effective method of dealing with these filters is to be aware that they exist and then practice communication processes that reduce their impact.

Sometimes we don't give the receiver enough information. It's like saying, "Fix it, George" and walking out of the room. Unless there is a clear understanding of what "it" is and how George is expected to "fix" it, no communication has been achieved.

For communication to be effective:

- Both parties must have an understanding of the process
- Both parties must utilize good listening skills
- Both parties must have an interest in the communication
- Both parties must understand the basic roadblocks

Of all these, listening is the most important. Sixty to seventy percent of a manager's communication time is spent listening. Good listening is more than merely hearing the sounds while you wait to have your say.

A manager must communicate with many different people. To be a good manager, you will need to be aware of the processes of communication, including nonverbal messages, and use them to communicate effectively. In addition, you will always try to select the best method of communication to use in each specific situation.

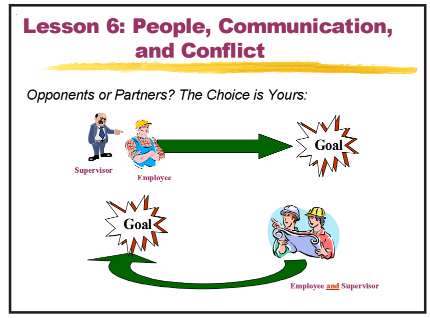
The Basic Methods of Communication

- ☆ Face-to-face — the most effective method due to verbal and nonverbal feedback.
- ☆ Written — best when a record is required.
- ☆ Phone — good for immediate feedback when distance prevents face-to-face contact.
- ☆ Electronic (fax, e-mail) — good when distance or time are a problem, and a record is important.
- ☆ Through a third party — useful only when the other methods are unavailable.
- ☆ "Reading between the lines" — also known as guessing or sorting out mixed messages — good only as a last resort.

Lesson 6

Instructor Tips

- Briefly introduce the win/win approach. A more detailed discussion follows on the next page.



Ideas for Real Life Examples

Potential Discussion Questions

Speaker Notes

TIME BAR (3 hours)

Win/win approach changes conflict from attack or defense to cooperation.

One person (the manager) constantly using the problem solving approach can make a difference.

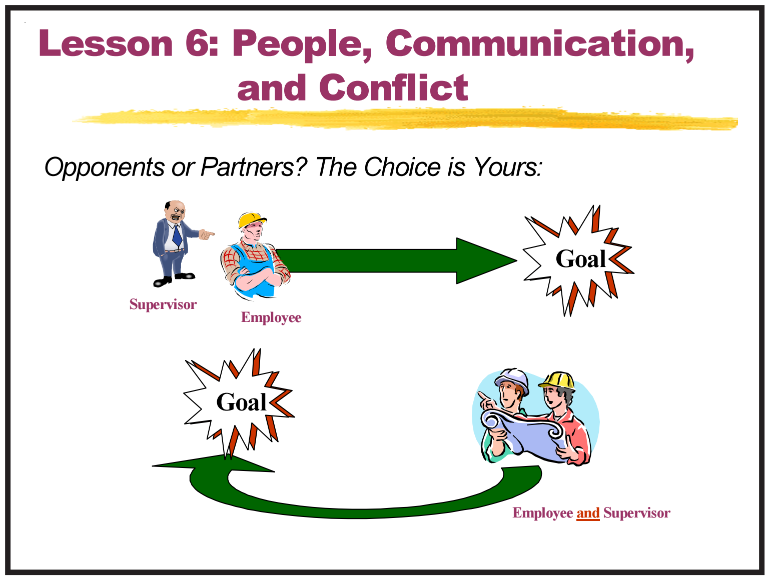
Don’t react before considering various approaches and choosing the best one.

Figure out how both parties can win!

Sometimes communications break down, and people get stuck. As a manager, it is your job to lead the way to solving arguments and resolving problems. The next section will give you several tools you can use to overcome these people or personnel problems. It all starts with having a positive, win-win attitude.

Conflict Prevention and Resolution — The Win-Win Approach

The win/win approach is about changing the conflict from an adversarial attack or defense to cooperation. By starting with a win-win attitude, you can prevent conflicts from happening in the first place.



One person steadily applying a joint problem-solving approach can make the difference. As a manager, you will probably be the person redirecting the course of the conflict. Therefore, the first person you have to convince is yourself.

Most of us are unaware of the way we argue. We find ourselves with a reflex reaction in difficult situations based on old habits combined with our mood of the moment. When challenged, we may distance ourselves from those around us. At these times, there is often a sense that if one person is right, then the other must be wrong.

Too often, we react *before* taking a moment to consider various possible approaches to the circumstances and *choosing* the one with the best chance of success for all. While people fight over opposing solutions (e.g. “Do it my way!” and “No, that’s no good! Do it my way!”), the conflict is a power struggle. To get past this struggle, you must change the pattern of the conversation.

Begin with the win/win approach:

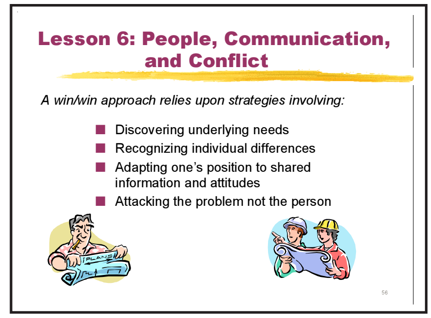
I want to win
and
I want you to win, too.

The challenge is in figuring out how you both can win.

Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Read the situation on the next page and discuss the importance of identifying the needs of both parties.



Ideas for Real Life Examples

- Provide an example of the utility clerk claiming the water tests fail because the operator is not sending them in a timely manner. (See potential discussion questions.)

Potential Discussion Questions

- Ask participants to identify the different needs of the employee and coworker? Recognition of individual differences? Is employee open to adapting new position? Can employee attack the problem and not the coworker?

Speaker Notes

TIME BAR (3 hours 10 minutes)

Use the two people with one orange situation to emphasize a win/win approach.

To avoid conflict and redirect the action ask:
Why does that solution seem best to you?
What's your real need in this situation?
What interests need to be served?
What values are important to you?
What final outcome do you want?

A win/win approach relies upon strategies involving:
Discovering underlying needs
Recognizing individual differences
Adapting a position based on shared information and attitudes
Attacking the problem not the person

Win/win – both agree to a plan and become committed because it suits each.

Exercise: Dealing with Conflict, Problems, and Stress

Start with Needs

Change course by beginning to discuss underlying need, rather than only looking at solutions. Consider this situation:

> *Two people are in a kitchen and both want an orange. There is only one orange. What do they do? Compromise?*
>
> *Let's assume they cut it in half and split it evenly. Now one person goes to the juicer and starts squeezing herself a rather tiny glass of orange juice. The other begins to grate the rind of the orange to flavor a cake.*

What if they had discussed their needs before heading straight to a solution? <u>They could have both had the equivalent of an entire orange!</u> Though they didn't see this at first, their needs were actually complementary not conflicting. Using a win/win approach, two sets of needs can frequently be satisfied simultaneously.

Addressing each person's elementary needs allows creating solutions that recognize and value those needs instead of denying them. Solutions may not be as perfect as in the orange story, but they are likely to be far more acceptable to everyone involved.

When redirecting the energy of conflict, ask questions like:

- ✓ Why does that solution seem to be the best to you?
- ✓ What's your real, underlying need in this situation?
- ✓ What interests need to be served?
- ✓ What values are important to you?
- ✓ What's the result or final outcome you want?

The answers to these questions significantly alter the issues on table. They bring to light the right materials for cooperative problem solving and lead to opportunities for each to say what they need.

Win/Win
I want what's fair for all of us.

A win/win approach relies upon strategies involving:

- Discovering underlying needs
- Recognizing individual differences
- Adapting one's position to shared information and attitudes
- Attacking the problem not the person

The win/win approach is successful because **IT WORKS.** When both people win, both are tied to the solution. They feel committed to the plan because it actually suits them.

Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Briefly introduce *active listening* which is covered in more detail of the following page.

Ideas for Real Life Examples

- Provide an example of a utility worker claiming the supervisor always assigned him the most demeaning duties (a manual shovel instead of using the equipment).

Potential Discussion Questions

- Ask participants why listening is considered the most important skill? List benefits of listening on a flip chart.

TIME BAR (3 hours 20 minutes)

Speaker Notes

Listening is the single most important skill a good manager possesses.

Active listening – is not automatic
requires constant attention
makes speaker comfortable and relaxed
takes edge off hot emotions
lets person feel like they were heard
provides affirmation to worker that they are important

Speaker talks about problem and issue – listener acknowledges and reflects back the meaning.

Non-active listening is like static on a phone – only part of the message is received, no clear understanding takes place.

Even where trust between people or organizations is very limited, the win/win approach can be effective. If there's doubt about the other party honoring their end of the bargain, you can make the agreement reciprocal. "I'll do X for you, if you do Y for me." X supports their needs, while Y supports yours. "I'll drive you to the store, if you clean the car." Or "I'll help you change out the tank filters, if you help me keep the office clean."

It's a successful strategy. Usually cooperation can result in both people getting more of what they want. The win/win approach is conflict resolution for mutual gain.

Listening — Your Single Most Important Skill and How to Improve It

The process of learning, when attempting to discover the issues and needs of your staff or others you are working with, requires one very important skill. This skill may be the single most important skill a good manager possesses. The lack of it is often the single most important reason some managers can't figure out how to manage. What is this skill? Listening.

Contrary to what many managers believe, your management job is not merely to tell your staff what to do but to *listen* to your staff so you can help them to *better* accomplish their tasks and goals. This important kind of listening is sometimes referred to as *Active Listening*. Active, because it is not usually an automatic process, but one that requires constant attention. The benefit is that instead of just telling your staff what to do ("because I said so"), you help them actively solve the issues that would otherwise prevent or hinder their accomplishing those tasks.

Benefits of Active Listening

Suppose one of your workers is already all steamed up about something that's been bugging them and comes storming in expecting a big argument with you. You can surprise them and turn what could have been a fight around toward possible solutions. How?

Active listening is a tool that makes the speaker feel more comfortable and relaxed. It helps take the edge off of hot emotions, is a key part of working toward win/win solutions, and can solve and even prevent conflicts.

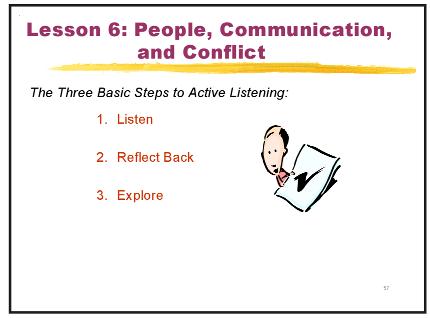
Active listening is not merely a matter of being quiet until the other person finishes speaking before taking a jab at stating your own opinion. It is a matter of letting the person feel like they have been heard. It is a way of providing positive affirmation to your workers that they are important enough to take the time to understand.

Remember that the aim of the speaker is to talk about their problems or issues and to be understood. Your task, as a listener, is to acknowledge their feelings and to reflect back their meaning to help them hear what they are saying. By listening, you are recognizing that the other person can be helped by you taking time to hear their problem.

Lesson 6

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Read and discuss the tips for successful active listening.
- Use a flip chart to list tips for active listening.



Ideas for Real Life Examples

- Provide an example of a manager asking the employee to "put it in writing." (schedule one-on-one later to discuss the issue with employee)

Potential Discussion Questions

- Ask participants to share a story involving a good listener. What made you feel this person really listened? What is the difference between listening and hearing?

TIME BAR (3 hours 30 minutes)

Speaker Notes

When active listening is not enough –
Nonverbal or non-confrontational employees – options to speaking on the spot may be:
submitting written comments or schedule one-on-one later

What are the three basic steps involved in active listening?

Listen – carefully and attentively to the other person
Reflect back – to the other person their feelings and perceptions
Explore – to unfold the problem in more depth

Exercise: Listening Exercise

It is also important to remember that active listening may not be enough. You must be sure to watch employees who you know are not verbal or are non-confrontational. These individuals may not be willing to discuss their feelings in an open or confrontational setting. If you find you have such people working for you, casually offer them an option of speaking on the spot, submitting written comments, or perhaps having a one-on-one discussion with you later.

The Three Basic Steps to Active Listening

Use active listening especially when someone seems to be coming to you with a problem.

1. LISTEN - carefully and attentively to the other person who will benefit from having their problem acknowledged by you.
2. REFLECT BACK - to the other person their feelings and perception about the difficulty with a single statement of acknowledgment periodically.
3. EXPLORE - to unfold the problem in more depth. If time permits, help the speaker find greater clarity and understanding for themselves.

Work to get a "Yes, that's how I feel" so they explore what they are saying, and they know they've been understood.

Here are some other tips to successful active listening:

- ✓ Give them time to state their concerns without cutting them off. You can still show you are listening with nods and "u-huhs" and by looking at them while they speak.
- ✓ Understand that in many rural communities, response to questions may come back days after the discussions. Do not be quick to assume that everything that **should** have been said **was** said during your first meeting.
- ✓ Do not ignore or deny feelings. It is okay for people to feel differently about the same thing; some people like chocolate while others prefer vanilla.
- ✓ Notice the nonverbal as well as the verbal communication to assess feelings.
- ✓ Allow silences in the conversation. Some people need more time to gather their thoughts and put them to words especially when they are feeling emotional about them.
- ✓ Check with them about their feelings as well as the content even though they may only be telling you about the content.
- ✓ If you're not sure how they feel, ask. For example, "How do you feel about that?" or "How did that affect you?"
- ✓ Reflect back to them what you hear them saying so they can hear themselves and correct you if what they meant didn't come across.
- ✓ Reflect back to them what you hear so they know you understand.
- ✓ If you get it wrong, ask an open question and try again. For example, "How do you see the situation?"

Lesson 6

Instructor Tips

- Summarize the conflict prevention and resolution lesson.
- Allow enough time for students to complete the worksheet and action plan.

Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (3 hours 40 minutes)

Speaker Notes

Summary:

- ✓ Easiest conflict to resolve is one that didn't happen
- ✓ Understand that each person has individual personality style and set of values
- ✓ Practice effective communication
- ✓ Feedback patterns (verbal, body language)
- ✓ Filters (refine, process)
- ✓ Choose method of communication (verbal, written, etc)
- ✓ Win-win attitude (focus on need)
- ✓ Listen (most important management skill)
- ✓ Active listening (listen, respond, explore)

Don't be afraid to direct the discussion back to the point if the person drifts to a less significant topic because they feel you don't understand. Remember that your active listening is a method of helping the other person focus below the words to the unresolved issues. Notice sighs and body shifts. They usually indicate insight or acceptance.

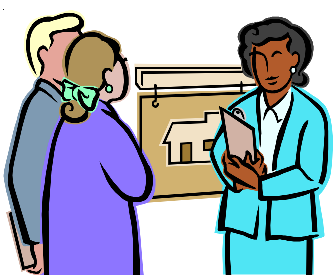
Summary

The easiest conflict to resolve is the one that never happened. Understanding that people have different kinds of personality styles (ways of doing things) and that they value different things will help you begin to understand the roots of conflict.

You can *practice* effective communication. You can work to grow aware of feedback patterns (what people say, their body language, etc.) and of the filters people sift their experience through. You can also choose your method of communication (verbal, written, etc.) as suits your needs and your staff.

A win-win attitude is healthy and can help you avoid conflict and resolve it. By focusing upon needs, you can help find ways to meet them.

Listening is the most important skill you will need as a manager at least when it comes to helping your staff get along in a happy and productive manner. Active listening involves a series of cycles that include listening, responding, and exploring. You can learn and practice active listening skills and, as a result, gain better insight and command of your team.



In the end, the reward for all this effort is better trust and higher productivity throughout your team. This will translate into less stress and more rewards for everyone, including your customers, because you are busy getting the job done instead of dealing with emergencies caused by out of hand conflict.

Instructor Tips

- Allow enough time for students to complete the worksheet and action plan.

Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (4 hours)

Speaker Notes

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

Action Plans:

1. ____

2. ____

3. ____

Lesson 7

Instructor Tips

Lesson 7 will take 4 hours to complete.

- Do not spend too much time on the introductory material

Ideas for Real Life Examples

- Give an example of a utility manager who went through this class, took home some management ideas, and created a better-run utility as a result.

Potential Discussion Questions

TIME BAR (10 minutes)

Speaker Notes

In this lesson, we will broaden our focus to the general tasks of management. We will explore the broader concept of leadership and motivation as tools you can use in your management tasks. We will also talk about delegation, problem people, and performance reviews. So let's get started!

Lesson 7: Motivation and Management Skills

Overview of This Lesson

Now that we have learned about people and conflict and tools to help the former avoid the latter, it is time to broaden our focus to the general tasks of management. You have your policies and procedures manual and safety policy and programs. You have your people, and their orientation and training has been addressed. And you now have insight into people, how to better communicate with them, and how to deal with conflict.

Now what?

This lesson explores the broader concepts of leadership and motivation as tools you can use in your management tasks. Leadership is not all about looks, charm, and charisma. It is also about visioning, knowing where you are and where you want to be, and knowing how to communicate that vision to others. While there is only so much you can do about your looks, there is plenty you can do about vision.

Next we examine motivation, what drives your workers to show up day after day. While money is often why people show up the first few times, it isn't enough to keep them on its own. We will help you see what other factors are in play and what you might do to enhance the motivation of your staff.

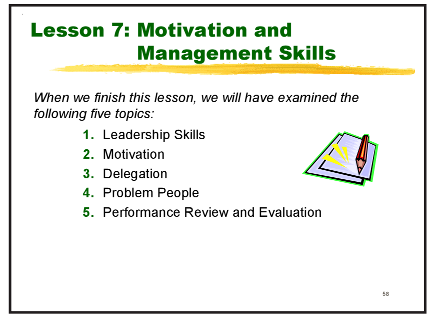
Delegation is about dividing the work to be done into assignments for everyone. You can't do everything on your own. And even if you could, you probably wouldn't want to. We will learn about delegation so you can do better in the supervisory aspect of your job.

Let's face it, sometimes we have to waste a whole bunch of time dealing with the same people repeatedly. These are known as Problem People, and there are some proven ways to deal with them. We will explore a few examples of problem people and how you can deal with them with less effort.

This brings us to the importance of performance review and evaluation as a tool to reinforce and reward positive behavior and correct negative patterns. Sometimes your staff isn't aware of whether or not they are doing a good enough job. They need to know. We will examine how and when you can tell them.

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

- Give an example of a utility manager than learned leadership skills and became a better manager as a result.

Potential Discussion Questions

- What is the difference between leadership and management?
- Why do we talk about leadership instead of focussing on management?

Speaker Notes

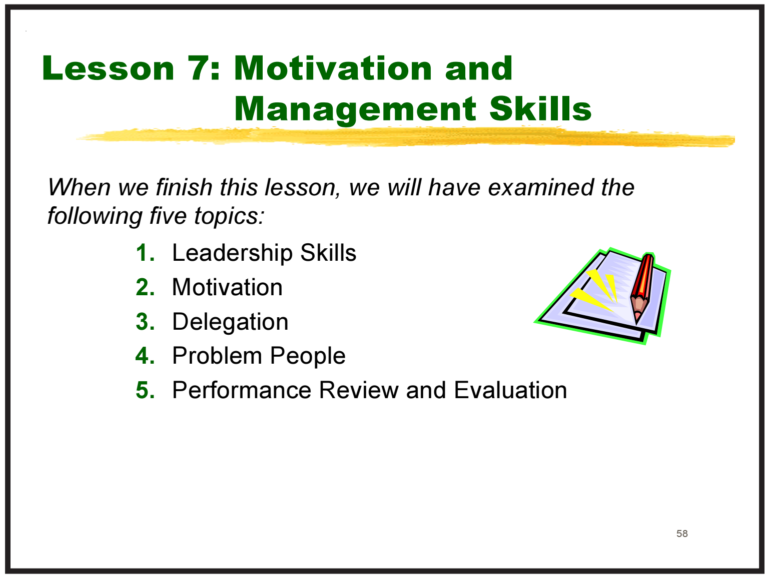
TIME BAR (25 minutes)

First, let's discuss the difference between leadership and management. What is leadership? **Leadership is the ability to get others to follow.** Leadership is focusing on a goal in the distance and marching off in that direction. If people want to follow, then the person in charge is a true leader.

What is management? **Management is getting your employees to do their jobs.** It's more of a process than a trait. As a utility manager, you have been formally hired to manage. If you do a good job and develop a good team along with the other resources that you need, you will meet your utility's goal of providing clean, safe water for your community.

When we finish this lesson, we will have examined the following five topics:

1. Leadership Skills
2. Motivation
3. Delegation
4. Problem People
5. Performance Review and Evaluation



Leadership Skills

Now that we have some background about people, conflict, and problem solving, let's look at the leadership and management skills required in using this information. First, we need to discuss the difference between leadership and management.

Leadership is the ability of an individual to get others to follow. Leadership is focusing on a goal in the distance and marching off in that direction. If people *want* to follow, then the person in charge is a true leader. Leadership is a process, a privilege, a responsibility, and a trust. We lead by example or by authority. Historically, tribal chiefs from around the world earned their positions as leaders either as fighters and defenders, as hunters and builders, or as thinkers and planners. Often those positions could last a lifetime, but they were usually subject to dismissal if the chiefs did a bad job. In modern societies, we continue a modified form of earned leadership. In the work world, people compete for leadership positions in a job application process or are recruited because others notice their skills and talents.

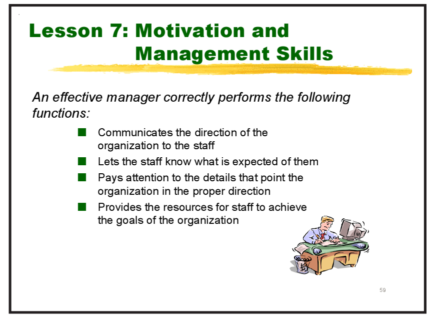
Management, on the other hand, is getting your employees to do their jobs without stumbling over each other. It's more of a process than a trait. As a utility manager, *you* have been formally hired to manage. The people who hired you thought you were the very best person they could get for the job. They decided to trust you. They have empowered you with the authority to manage or lead your staff to the goal of providing safe water. When you think about it, this is truly a profound trust and responsibility being placed in your hands. If you do a good job and can develop a good team along with all the other resources you need, you will be providing clean, safe water for your community. When everything is going smoothly, your community will be so used to trusting you that they will most likely forget about you and take their water for granted. Of course, if you or your team members make certain worst-case mistakes, people in your town could get very sick and even die.

You might consider it an honor to be trusted with so much. You might also be a bit scared by having all this responsibility. Hopefully you are a bit of both, honored and scared, and will be able to stand proudly, knowing you will do your best to keep learning and improving yourself and your team—eventually even preparing your replacement to handle your job when you move on someday.

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- List characteristics of a competent manager on a flipchart. Compare list to student manual.



Ideas for Real Life Examples

Potential Discussion Questions

- (see speaker notes)

TIME BAR (45 minutes)

Speaker Notes

If you have a positive attitude and study the many management tools developed by others, you should be able to do a good job at managing and leading your team. A good manager leads in many ways by helping their team anticipate, recognize, and solve the endless problems that are a part of doing their assigned jobs. Our focus in this lesson is on the management functions of good leadership. **Leadership and management skills are two different things, and not everyone has the talent for both.**

What are two qualities of good leadership?

1. **Have a clear vision of where you are going**
2. **Be able to communicate this vision to your followers**

These same qualities are true of an effective manager; you need to have a clear picture of the desired results and then communicate that picture to your staff. The successful management of your utility is critical to its survival. The primary cause of most utility problems is the lack of proper management. The utility manager is responsible for organizing and overseeing all the work necessary to run the utility and all the people needed to perform this work.

Being an effective manager requires the implementation of specific practices by the utility manager. **An effective manager performs what functions?**

a. **Communicates the direction of the organization to the staff**
b. **Lets the staff know what is expected of them**
c. **Pays attention to details that point the organization in the right direction**
d. **Provides the resources to staff to achieve the goals of the organization**

There is no simple way to identify a competent manager. Most managers exhibit a mix of strengths. Let's look at this from an employee's point of view. Hopefully all of you at some point in your working career have worked for a good manager. What are some characteristics of a competent manager? (List these characteristics on a flip chart.) Now, let's compare our list to the list in your student manual. In the student manual, the following characteristics are listed:

- Understanding of the goals and objectives of the organization

With a positive attitude and a regular study of the many tools that have been developed by others in your shoes, you should be able to do a good job at managing and leading your team. A good manager doesn't just dictate what everyone must do but leads in many ways by helping their team anticipate, recognize, and solve the endless problems that are a part of doing their assigned jobs. A good manager inspires his or her team to feel the honor and responsibility of their jobs and to strive to do their best with positive attitudes and integrity.

While leadership skills can be developed and learned, our focus in this lesson is on management functions. It is possible to be a good manager and a poor leader, and it is possible to be a good leader and a poor manager. Before any manager can be effective, he or she must develop management and leadership skills. Leadership and management skills are two different things, and not everyone has the talent for both.

Two qualities of good leadership that you should develop:

1. Have a clear vision of where you are going
2. Be able to communicate this vision to your followers

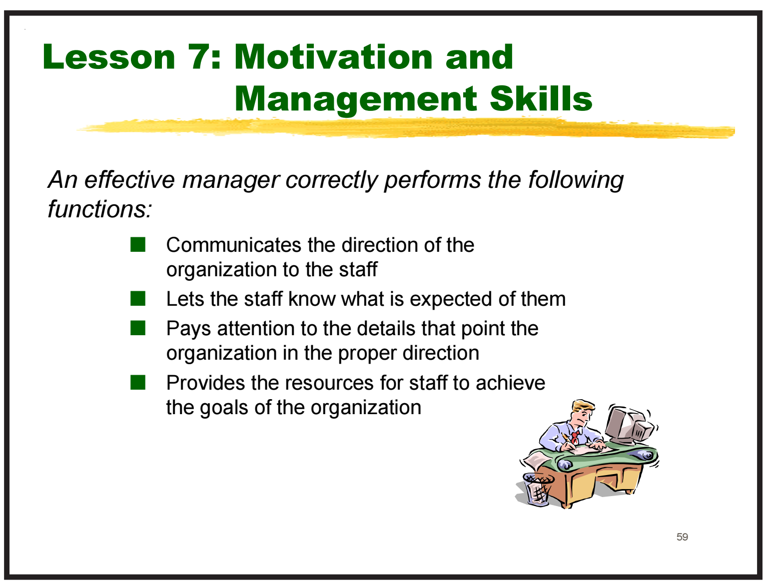
If you want to be an effective manager, you should have a clear picture of the desired results of proper operation, maintenance, and management of a utility and then communicate that picture to the staff. You have to be able to see the big picture to communicate its importance to your staff.

The successful management of a utility is the path to its survival. The lack of proper management is the primary cause of most utility problems. One person cannot do all of the work to operate, maintain, and manage a utility. The organizing and overseeing of this work and the people who perform it is the job of the utility manager. Being effective in organizing and overseeing people and their work requires the implementation of specific practices by the utility manager.

An Effective Manager

An effective manager correctly performs the following functions:

- ✓ Communicates the direction of the organization to the staff
- ✓ Lets the staff know what is expected of them
- ✓ Pays attention to the details that point the organization in the proper direction
- ✓ Provides the resources for staff to achieve the goals of the organization



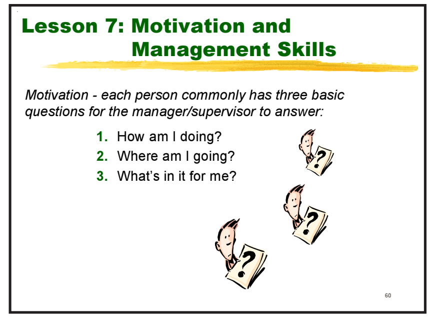
Employee's Point of View

There is no simple way to identify the competent manager. Rather, most good managers exhibit a mix of strengths. From the employees' point of view, a competent manager is one who:

- ❍ Understands the goals and objectives of the organization

Lesson 7

Instructor Tips



Ideas for Real Life Examples

Potential Discussion Questions

- Why should a manager worry about motivating his employees? Doesn't he have better things to do with his time?

TIME BAR (1 hour)

Speaker Notes

- Making decisions and not procrastinating on tough decisions
- Developing and using formal and informal lines of communication
- Recognizing people as individuals
- Recognizing that different people respond to different motivations
- Allowing and requiring participation by staff in decisions that affect the staff
- Giving people the authority to make decisions and take responsibility
- Rewarding actions that contribute to the goals and objectives of the organization
- Listening to employees and actually hearing what they are saying
- Delegating responsibilities and authority that allows the staff to get the job done
- Being fair and consistent in discipline

Once managers understand themselves and the people with whom they work, they are in a position to use management skills to assist the staff in obtaining the agreed-upon goals and objectives. The process is often referred to motivation.

So how does a manager provide a motivating environment? It starts with understanding the type of workplace environment the people desire. Studies have shown that each person has three basic questions that the manager needs to answers. These are the following:

1. How am I doing?
2. Where am I going?
3. What's in it for me?

A good manger will answer these questions for each employee. The employee can then clarify for the manager the desired working environment. The manager can then establish the proper environment by answering these questions for the employees. Let's look at each question in more detail.

How am I doing? To answer this question, the manager must establish clear goals and objectives to ensure that the employee understands the manager's expectations. Once the employee understands he manager's expectations, the manager can provide feedback on how the employee is doing in the form of rewards, recognition, and performance appraisals or guidance to do the work correctly. Remember, we are not only taking about annual performance reviews, but we're also talking about daily, on-going feedback on how they are performing according to the manager's expectations. This requires clear lines of communication and well as frequent verbal and written communication between the manager and the worker.

Exercise: Positive Strokes

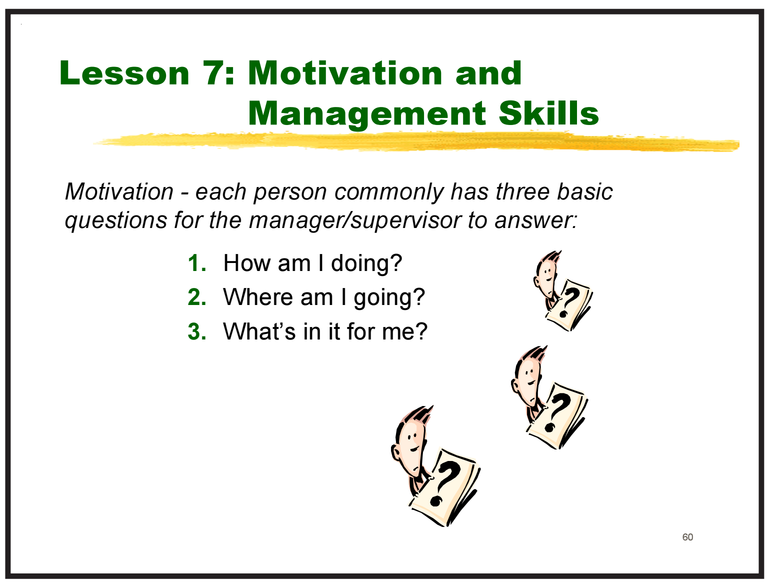
- Makes decisions and does not procrastinate on tough decisions
- Develops and uses formal and informal lines of communication
- Recognizes people as individuals
- Recognizes that different people respond to different motivations
- Allows and requires participation by staff in decisions that affect the staff
- Gives people the authority to make decisions and take responsibility
- Rewards actions that contribute to the goals and objectives of the organization
- Listens to employees and actually hears what they are saying
- Delegates responsibilities and authority that allows the staff to get the job done
- Is fair and consistent in discipline

Once managers understand themselves and the people with whom they work, they are in a position to use management skills to assist the staff in obtaining the agreed-upon goals and objectives. This process is often referred to as motivation.

Motivation

How does a manager provide this environment? It begins through understanding what types of workplace environments people desire. Each person commonly has three basic questions for the manager/supervisor to answer:

1. How am I doing?
2. Where am I going?
3. What's in it for me?



These are all acceptable questions that a good manager answers for each individual. They are the individual's way of clarifying the desired environment. For the manager, establishing the proper environment comes from providing answers to these questions.

How am I doing?

To answer the question, "How am I doing?" the manager must establish clear goals and objectives and be assured that the employee understands the manager's expectations. The manager can then provide feedback on how the employee is doing in the form of rewards, recognition, and performance appraisals. If the response is in the negative, a good manager will provide the employee with guidance to do the work correctly.

In the context of this lesson, we are not talking only about the traditional annual performance appraisal. We are also talking about the manager providing ongoing feedback to the employees on how each is performing in accordance with the manager's expectations. This requires clear lines of communication as well as frequent verbal and written communication between the manager and the worker.

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- Ask participants what they want from their job and record their answers on a flipchart. Compare to list in student manual.

Ideas for Real Life Examples

Potential Discussion Questions

- (see speaker notes)

TIME BAR (1 hour 15 minutes)

Speaker Notes

The next question is where am I going? This is where the manager lets the employees know what future pay raises will look like, what new responsibilities they will receive, what training may be available, what opportunity there is to move up in the organization, etc. It is important that this information is communicated clearly to the employee. From the employee's point of view, the manager's most important job is to be clear in expectations. Another common need identified by employees is the desire to have a clear understanding of their responsibilities and the authority to achieve these responsibilities. This empowers the employee to do their job.

The last question is what's in it for me? Otherwise known as WIIFM. The bottom line in getting employees to perform is to make it personal for them. **Motivating employees is a matter of finding out <u>what is important to them as individuals</u> and responding appropriately.** Not all employees are motivated by pay. If you want highly productive employees, you need to find out what the employee wants and then provide feedback on the organization's ability to provide it.

Before we look at a survey of 5,000 industrial workers, let's look at what you want from your employer. (Ask participants what they want and write them down on a flip chart. After the participants are through brainstorming, have them go back and pick a number one choice.)

Let's now look at the survey result in your student manuals and compare them to our responses. (This can be done many ways including reading the list in order from the student manual and seeing if that item appears on the flip chart.) Hopefully by understanding what you want from your job you will be able to better understand what your employees may want from their jobs.

We discussed in this chapter "what's in it for me?" What are the top three things you want from your job? (no specific correct answer)

Where am I going?

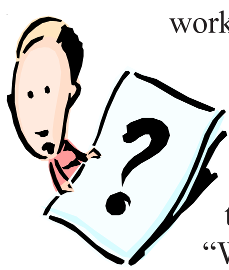
The "Where am I going?" question is more general. Here the employee may want to know what future pay raises will look like, what new responsibilities they will receive, what training may be available, what opportunity there is to move up in the organization, etc. It is important that the manager communicate clearly with the employee about the future of the organization, how each employee fits into this future, and what the manager's expectations of the employee may be in the future.

From the employee's point of view, management's single most important job is to be clear in expectations. A job, in a way, is like an ongoing game. Everyone will find the game playable and possibly enjoyable as long as everyone knows the rules. It is the manager's job to make sure everyone understands the rules and to encourage them to play with gusto.

A common need identified by employees is the desire to have a clear understanding of their responsibilities and the authority to achieve these responsibilities. The manager empowers the employee to complete a task by clearly communicating the responsibilities for the job and how the responsibilities are connected to the organization's goals and objectives. Then the employee is provided with the authority and resources to accomplish the tasks. On completion of the task, the manager provides a reward. Most commonly and importantly, the reward will be an acknowledgment that the task was completed correctly, but occasionally more concrete rewards are a good idea.

What's in it for me?

Then there is the WIIFM (Whiff-em) Principle. As every good manager knows, the bottom line in getting employees to perform is by making it personal to them. If you want to reach your employees, you have to view the job from their point of view. What makes them tick individually? Collectively? Motivating employees is a matter of finding out what is important to then as individuals and responding appropriately. Not all employees are motivated by money so a pay raise will not necessarily improve productivity. If you want highly motivated employees, look at the work through their glasses.



Each of us has different values, wants, and fears. To provide an environment that allows a person to motivate him or herself, the manager needs to know what the worker wants and then provide feedback on the organization's ability to provide this for the employee. This is the basic answer to the employee's question of "What's in it for me?"

What do employees want? That's an interesting question. The answer may surprise you. A survey was done of 5,000 industrial workers asking them what they wanted from their employer. The following were some of the top needs identified, in order:

1. Appreciation for work done
2. A feeling of being in on things
3. Sympathetic help on personal problems
4. Job security
5. Good pay
6. Interesting work (usually involves responsibility)

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.
- List fringe benefits important to participants on a flipchart. If they don't have them at their place of employment, brainstorm on how they might be able to achieve them creatively.

Ideas for Real Life Examples

- Give an example of a utility that provides low cost fringe benefits to its employees.

Potential Discussion Questions

- Are there any creative ways your utility offers fringe benefits?

Speaker Notes

TIME BAR (1 hour 25 minutes)

Surprisingly studies show that for a majority of workers, money is not the top motivator as long as they have enough money to meet their basic needs. And for most people, money is a relative term, and the concept of "more" depends largely on what others around them are making. With limited resources, it may be hard to pay employees more, but if you can find other options, such as a flexible work schedule, more vacation time, or out-of-town training, you may be able to keep employees motivated without giving them bigger paychecks. But let's face it: employees work for money. However, money is only one way to pay to employees. And that's what we'll be discussing now.

What are the two forms of compensation and briefly describe each?

1. **Direct compensation- paycheck**
2. **Indirect compensation - fringe benefits (training, health insurance, retirement, etc.)**

Direct compensation is the wages and salaries paid to employees on a regular basis as a reward for their work. Most employees are paid for their time rather than for their output. Of course, any money you use to pay for direct and indirect compensation must be in your budget. Still, you can be creative with how you pay people within limits.

Indirect compensation is the fringe benefits employees receive and can be an important part of an overall compensation package. Big businesses spend about 40% of their payroll costs on employee benefits and employer-paid taxes. Since small utilities are limited by their funding and billing successes, they are somewhat limited as the benefits they can offer. You may be able to make up for your lack of cash by being flexible and creative in how you award benefits. Work with your staff to discover what they really want and how you might be able to accommodate them.

List three fringe benefits important to you. (no specific correct answers)

Exercise: What's in it for me?

Surprisingly, studies show that for the majority of workers, as long as they have enough to pay for basic needs, money is not the top motivator. On the other hand, in most cases, you cannot pay an unhappy person enough money to make them happy.

For most people, whether they live in a large city or a small village, money is a relative term. While everyone wants “more,” the concept of “more” depends largely on what others in the same area are making. If you begin to pay employees more and more to do a better job, you will never have enough money. Some options you may have at your disposal are benefits like more vacation time, a flexible work schedule, or opportunities for out-of-town training. Always keep your eyes open for options you can offer to motivate your employees. Many of them will not cost the utility much money.

Deciding Compensation Issues — Direct and Indirect Pay
Let’s face it: people work for money. If you don’t pay them, they might volunteer from time to time, but you won’t be able to count on them to do your work and do it right. However, money is just one of the many ways to pay your workers. That’s what we are discussing in this section.

Payment of your employees, called compensation, takes two forms: (1) direct compensation (the paycheck) and (2) indirect compensation (fringe benefits).

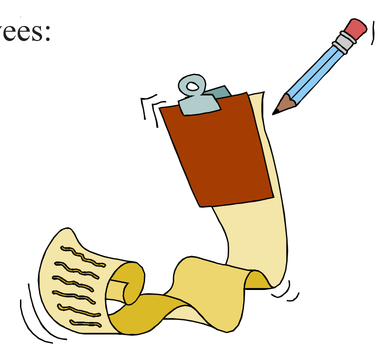
Direct Compensation
Wages and salaries are the reward people receive on a regular basis (monthly, biweekly, or weekly) for their work. Most of your workers will be paid for their time (by the hour, week, or month). In some cases, they could be paid on the basis of output (for example, per water test or per delivery).

Of course, your utility has a budget, and you can only spend so much on direct and indirect compensation. Still, you can be creative about how you “pay” your people within limits.

Indirect Compensation
Fringe benefits are an important part of the overall compensation package in most small organizations. Employee benefits and employer paid taxes account for about 40 percent of big business payroll costs. Small utilities don’t tend to have the profitability of big businesses, so your funding and billing successes will be the primary determinants of what benefits you can offer. On the other hand, you can make up for your lack of cash by being flexible and creative in how you award benefits. Find ways to work with your staff to discover what they really want and need and how you might help them get it.

Fringe Benefits
Options to consider when deciding which fringe benefits to offer employees:

- ✓ Retirement payments
- ✓ Paid vacations
- ✓ Payment for jury, national guard, or military duty
- ✓ Disability, health, and dental insurance
- ✓ Cost savings sharing
- ✓ Bonuses



Lesson 7

Instructor Tips

- Have a volunteer read the case study.
  (see speakers notes)

Ideas for Real Life Examples

Potential Discussion Questions

Speaker Notes

TIME BAR (1 hour 40 minutes)

Fringe benefits can be expensive, but they don't have to be. The following case study is an example of being open to things you wouldn't normally consider to find a solution that works for everyone.

Have someone read the case study.

Another approach to fringe benefits is called cafeteria planning. This is where employees are offered a certain amount of money for optional benefits. Each employee is able to choose a package of benefits that suits their current needs. Many employees like this approach because it allows for freedom of choice and doesn't impose a single package of benefits on all employees. The example in the student manual talks about an employee with small children interested in day care. Another employee may have no dependents and is interested in specific training.

- ✓ Life insurance
- ✓ Education payments
- ✓ Discounts on goods/services (water for their home)
- ✓ Child care
- ✓ Training
- ✓ Awards
- ✓ Employee meals

Fringe benefits can be expensive, but they don't have to be. The following is an example of where being adaptable and being open to things you normally wouldn't consider can lead to a solution that works for everyone. Read on and see how one community found new ways to keep a clerk who was willing to do the job by offering the clerk something unusual. The solution really didn't cost the village anything, but it gave the worker something she needed and couldn't find in other jobs.

Case Study

Family Friendly Work Issues: Child Care

"One of the biggest problems is having cash to pay employees. In talking about motivation and communication, we found that money isn't always the most important thing to motivating an employee. How they are treated, work space environment, flexibility of employer can all be more important."

"One of the communities had trouble finding a clerk. The primary reason was the lack of child care in the community. Most the people who could work have kids. Sure, they can go earn $8 or $10 an hour, but if they've got to pay a baby-sitter out of that…"

"So the community adapted by changing their policy. They have allowed the employees to bring their kids to work with them, and while having kids running around the office can create problems at times, it beats the alternative of having no one willing to work in the office. There was even talk of seeking day care funds and setting up a child care facility in the utility."

Cafeteria Planning

Another successful approach to providing benefits to employees is to allocate a certain amount of money per employee for optional benefits. Each employee then chooses the package of benefits that suits their current needs. This approach is called cafeteria planning because it is like going down a cafeteria line where each customer chooses what he or she wants to eat. Many employees perceive this approach as highly equitable because it (1) allows freedom of choice and (2) does not impose a single package of benefits on all employees.

Since small utilities and their communities don't tend to have lots of money, you can be creative about what kinds of benefits to offer.

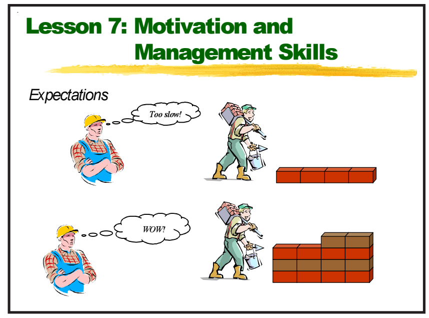
For example, a young employee with several small children may be interested in child care for her family. She is not really interested in or motivated by a paid vacation plan at this time in her life. Maybe you can't afford to give her enough extra to pay for regular baby-sitters. On the other hand, you may be able to offer her times when she can bring her children to work or when she may work from home while she is there to watch them.

Or, you might have another employee in his late forties, with no children or other family dependent upon him, who would rather have some extra help with rent or with special training opportunities.

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.



Ideas for Real Life Examples

Potential Discussion Questions

- How can taking time now to discover an employee's benefit needs save you time in the long run?
- How can expectations be communicated non-verbally?
- What is delegation?

TIME BAR (2 hours 10 minutes)

Speaker Notes

To force the same benefits on both employees is not a smart use of benefit money. The main benefit to cafeteria planning is that it allows some choices on the part of the participants.

Once you decide whom you want to hire, work to discover what they need and value. Then you might be able to offer them benefit choices that fit them. By working a little hard to retain employees, you save yourself time later by not having to advertise, hire, and train an new employee.

The next management topic is expectations. The important thing to remember about this is that if you have positive expectations about a person, they usually respond in a positive manner. And the reverse is true as well. If you have negative expectations about a person, they will respond negatively. Keep in mind that this expectation is communicated not only verbally but also non-verbally as well. We talked before about body language, facial expressions, and tone of voice. As much as 90% can be communicated non-verbally so what you do is as important as what you say.

If a manager has positive <u>expectations</u> and beliefs about a person, it opens the door to positive results.

One key to being an effective manager is to communicate your expectations.

Delegation is the next management topic. What is delegation? **Delegation is a process used by good managers to assign tasks, responsibility, and authority to an individual. The <u>ultimate responsibility</u> remains with the manager who did the delegating.**

This man might not value child care options at all but might love it if you can help him with planning for his eventual retirement, teaching him how to save or invest some of his income for the future.

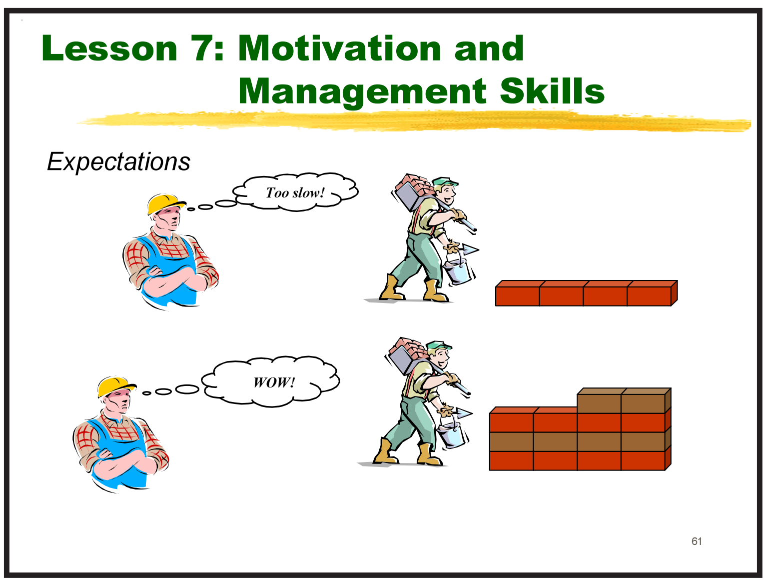
To force the same benefit on both of these employees is not a smart use of benefit money. To allow some choice on the part of participants is the major advantage of the cafeteria approach to benefit planning.

Small utilities face difficult challenges when they try to match benefits with big firms. Nevertheless, the utility can enjoy the benefits of greater flexibility and innovation by offering a cafeteria plan.

Once you decide who you want to hire, work to discover what they need and value. It will be up to you to figure out what your employees really value most. Then, if you work creatively, you can help them get closer to achieving it by offering them benefit choices that fit them comfortably. Taking this extra time can help you retain your workers longer, which will save you time and money in the future. So, even if it adds to you administrative effort now, it will save you administrative time later when you find you don't have to waste time to advertise, interview, and train the next person so soon.

Expectations

If a manager has positive expectations and beliefs about a person, it opens the door to positive results. Unfortunately, the reverse is true. If a manager has negative expectations, it commonly results in poor performance from the employee. Your employees will respond to meet the expectations you have of them. If you give all your employees a chance to prove their worth, you may be surprised at the result.



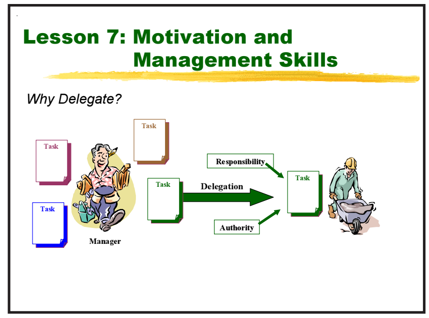
One key to being an effective manager is to communicate your expectations. Keep in mind that what you *do* is more important than what you *say* when it comes to communicating expectations. As much as ninety percent of our communication is nonverbal body language, facial expression, voice tone, etc. The basis for this nonverbal communication is formed from our beliefs. Our beliefs about a person are conveyed to that individual by nonverbal communication. We are unlikely to be able to hold negative thoughts about a person and not eventually communicate those thoughts non-verbally. Therefore, if we want positive results, we must *hold* positive beliefs about the person's capabilities to perform the tasks.

Delegation

Delegation is a process used by good managers to assign tasks, responsibility, and authority to an individual. Delegation is the thoughtful assignment of work; it is not the dumping of the manager's work-load onto an employee's back. The ultimate responsibility remains with the manager who did

Lesson 7

Instructor Tips



Ideas for Real Life Examples

- Give an example of a manager who hasn't learned to delegate, and as a result, the utility doesn't seem to be moving towards any of its goals

Potential Discussion Questions

- Why delegate?
- Why can delegation be difficult?
- How can delegation be made a little easier?

TIME BAR (2 hours 20 minutes)

Speaker Notes

Even though the ultimate responsibility for the work remains with the manager, the employee needs to be given the responsibility and authority to use resources to complete the task. The employee can be held responsible for the results of the assignment; however, the manager is not relieved of the responsibility for the task being completed.

Why delegate? In most utilities, there is more work requiring a variety of skills than can be accomplished by one person. For this reason, the various responsibilities and tasks must be divided and delegated among the staff. However, most managers find delegation difficult. Why is this? Some managers fear the task won't be done properly or fear the loss of control of the task. The most serious roadblock is the time it takes to delegate, oversee, and provide feedback on the task to ensure it is done properly.

How can delegation be made easier? Here are a few simple tips:

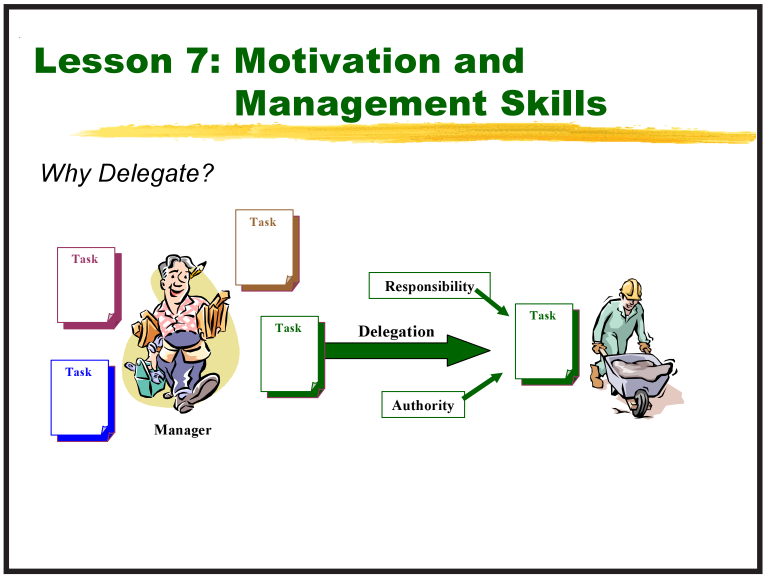
- Have confidence that the task will be completed correctly
- Accept the fact that a task delegated may not be done in the same way as it would be done if you did the work
- Recognize that the person receiving the task may have limitations in training, resources, and other workload
- Provide clear directions and expectations about the quantity, quality, and timelines of the task
- Provide the authority to use the resources necessary to complete the task and be clear about the limitations on resources
- Provide assistance, if necessary, as the person does the task the first few times
- Provide proper feedback and rewards for the person as they learn the new task (never use discipline)
- Provide a system of controls so that you can be assured that the task is being completed properly and on time

the delegating. And keep in mind that the manager is ultimately responsible for all the actions of his/her employees. If you don't assign work responsibly, you'll eventually end up doing it all yourself.

When a person is assigned a task, he or she *must be given the responsibility and the authority to use resources to complete the task.* In addition, he or she is held responsible for the results of the assignment. Again, when a manager assigns a task to a staff member, the manager is not relieved of the accountability for the results of the task. While the manager can hold a person responsible for a task delegated to them, the manager is not relieved of the responsibility for the task being completed.

Why Delegate?

The primary reason for delegation is the assignment of the work to the proper individuals. In most utilities, there is more work requiring a variety of skills than can be accomplished by one person. Thus, the various responsibilities and tasks must be divided and delegated among the utility staff. This is the only way to accomplish the results required to meet the goals of the utility.



Most managers find delegation difficult. Delegation is not a natural response for most individuals and brings forth many fears. These include the fear of the task not being completed properly and losing control of the task. The most serious roadblock to delegation is the amount of time required to delegate, oversee the task, and provide feedback in order to ensure the task is done properly. You cannot do everything yourself so you will have to delegate your responsibilities. Accept this as a fact of life.

Delegation can be made easier by following these few simple tips:

- ❒ Have confidence that the task will be completed correctly
- ❒ Accept the fact that a task delegated may not be done in the same way as it would be done if you did the work
- ❒ Recognize that the person receiving the task may have limitations in training, resources, and other workload
- ❒ Provide clear directions and expectations about the quantity, quality, and timelines of the task
- ❒ Provide the authority to use the resources necessary to complete the task and be clear about the limitations on resources
- ❒ Provide assistance, if necessary, as the person does the task the first few times
- ❒ Provide proper feedback and rewards for the person as they learn the new task and never use discipline when a person is learning a task
- ❒ Provide a system of controls so that you can be assured that the task is being completed properly and on time

Lesson 7

Instructor Tips

- Have a volunteer read the IBM Company example.

References

Article relating to allowing employee to take risks in the workplace.

Ideas for Real Life Examples

- Give an example of a utility manager who used a mistake made by the operator as an opportunity for learning.

Potential Discussion Questions

- Why do managers need to understand why people act the way they do?
- How can a manager support an employee's true needs without supporting their destructive behaviors?
- How does adopting a "winners and learners" attitude in the workplace contribute to an energetic workforce?

TIME BAR (2 hours 40 minutes)

Speaker Notes

Working with others is a very important management topic. People act the way the do for a reason. They want to belong, feel important, and protect themselves. When a person perceives a threat to their self-esteem, defensiveness starts. The secret to breaking this defensiveness is to support their true needs without supporting their destructive mistaken beliefs and hostile or avoidance reactions.

Self-esteem gets a big boost if we adopt the philosophy that there are no failures, only learning. Managers who are overly critical of errors often get "yes" people to serve in their organizations. This doesn't mean you ignore errors; you consider them an opportunity for learning. An organization that encourages openness to risk in its employees gets an alive and motivated staff. Let's look at this famous example from the IBM Company. (Have a volunteer read the example.)

Life is not merely about winning and losing. It's also about learning. Challenge yourself to **stop** thinking of "winners and losers" and to instead think about "winners and learners."

Working with Others

People act the way they do for a reason. They want to belong, feel important, and protect themselves. When people perceive a threat for their self-esteem, defensiveness starts. The faulty belief that it will gain them a place of belonging and significance can lead people into loud, hostile, or defensive (territorial) behaviors or into avoidance. Just like the fight or flight response of wild animals, humans too have the instinctual urge to fight or flee. How we respond to our staff's difficult behaviors can determine how ingrained these reactions become.

The secret is to break them out of the defensiveness by supporting their true needs without supporting their destructive, mistaken beliefs and hostile or avoidance reactions.

Winners and Learners

If there are no failures and only learning, self-esteem and morale gets a giant boost.

Are you judgmental and critical of your mistakes? Children who are always protected (prevented) from making mistakes can grow up too dependent and cautious to enjoy life. Managers who are overly critical of errors often get "yes" people to serve in their organizations.

This doesn't mean you ignore errors or avoid improving the process. It means errors are seen as a wonderful opportunity for learning.

When an organization encourages the openness to risk in its employees, it gets an alive and motivated staff. We are most energized as we stand ready to act on the edge of our personal unknowns. Think of this famous example from the IBM Company:

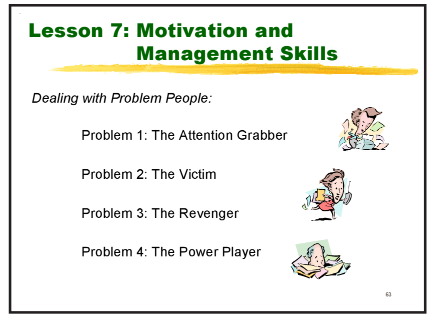
> *One middle executive at IBM made a strategic error that ended up costing the company over $9 million. The following week the executive was called into the office of the Chairman. He was shaking inside, sure he was about to be fired—wondering what he would do to support his family. But the Chairman began sharing plans for a huge new project he wanted the executive to direct.*
>
> *After a while, the executive was feeling so uneasy he interrupted: "Excuse me, sir, you know I'm amazed. Last week I cost us $9 million. Why are you putting me in charge of this new project? I thought you were going to fire me."*
>
> *The Chairman smiled. "Fire you? Young man, I've just invested $9 million educating you. You're now one of my most valuable assets." Here was a chairman who valued the willingness to risk and learn. He knew it was an essential ingredient in the successful executive.*

Life is not merely about winning and losing, it's also about learning. When you fall down, you pick yourself up and note where you tripped so you can step around that spot the next time. A person who has gone "too far" knows just how far they can go. Stop thinking of "winners and losers." Consider instead the idea of just "winners and learners."

Lesson 7

Instructor Tips

- Ask students for characteristics of problem people, list on a flip chart. After discussing four types return to flip chart list and identify the four personality types.



Ideas for Real Life Examples

- Give an example of a manager who had an employee with one of the problems cited in the student manual and how he was able to turn this person into a productive employee.

Potential Discussion Questions

- Give the participants time to suggest possible solutions to problem people before looking at the solutions in the student manual.

Speaker Notes

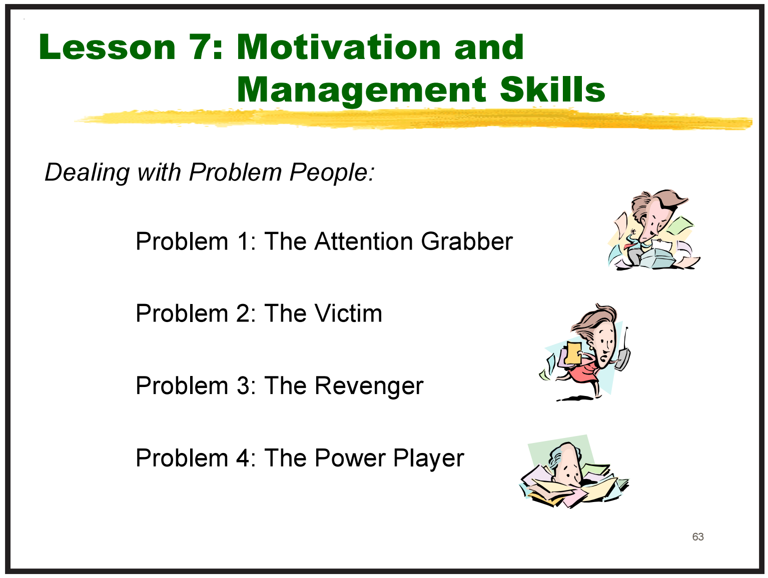
TIME BAR (3 hours)

Now that we've briefly talked about working with others, lets look at some common problems with staff and how to handle them. The first one is the attention grabber. This person acts as though they don't belong unless they're being noticed. They make scenes or events to get attention. A common reaction to these types of people is to feel annoyed or to try to coax them to calm down. This only works for a while until they resume their demanding behavior. What is a solution? Avoid giving them undeserved attention. Give positive attention and feedback for their positive behavior.

The second one is the victim. This person feels they won't be hurt or stressed too much only if they can convince others not to expect too much from them. They try to appear inadequate to the tasks and play on your pity. A common reaction is to try and correct them, but they respond passively, show no improvement, and stay a victim hoping you will give up. What is a solution? Encourage any positive attempt, no matter how small. Focus on their assets. Support their feelings as a starting place for self-development.

The next one is the revenger. This person feels they are important only if they make others feel as bad as they do. A common reaction is to feel hurt by them and try to retaliate. They, then, seek stronger revenge, and thus a vicious cycle of revenge starts leading to disaster. What is a solution? Convince them that you respect their needs. Take time to work through issues with them. Build a trusting relationship by demonstrating integrity in all areas of your own conduct.

Dealing with Problem People



You don't have to let the few staff with difficult behaviors rule your organization. Here are four common problems with staff and how to solve them:

Problem 1: The Attention Grabber. This person feels as though they don't belong unless they are being noticed. They make scenes or events to get that attention. Common responses to this behavior are to feel annoyed and to react by coaxing them to calm down. This works for a short while, and then the person resumes the demanding behavior, perhaps in a new way.

> **Solution 1: Avoid undeserved attention**. Give positive attention and feedback for positive behavior, especially when they are not trying to demand it. Encourage and endorse their true contribution and commitment.

Problem 2: The Victim. This person feels they won't be hurt or stressed too much if they can convince others not to expect much from them. They try to appear inadequate to the tasks and play on your pity. You may try to correct them, but they respond passively, show no improvement, and stay the "victim" hoping you will give up, overwhelmed.

> **Solution 2: Encourage any positive attempt, no matter how small.** Focus on their assets and provide bit-sized learning experiences they can succeed at. Support their feelings as a starting place for self-development.

Problem 3: The Revenger. This person feels they are important only if they make others feel as bad as they do. Common responses are to feel hurt by them and retaliate. Of course, they merely seek further and stronger revenge, thus starting a series of rounds leading to disaster.

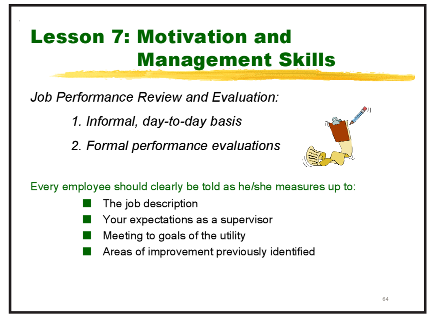
> **Solution 3: Convince them that you respect their needs.** Uphold their need for justice and fairness by taking the time to work through the issues. Build trusting relationships by demonstrating integrity in all areas of your own conduct.

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.

References
Management magazine articles regarding performance appraisals (for example, "How to Conduct A Performance Appraisal")



Ideas for Real Life Examples

- Give an example of a manger who implemented informal job performance appraisals and had an easier time giving annual evaluations.

Potential Discussion Questions

- Why are job performance reviews and evaluations such an important part of the manager's duties?
- What are the purposes of the job performance reviews and evaluations?
- How can informal, day-to-day performance reviews make the annual evaluation go easier?

TIME BAR (3 hours 15 minutes)

Speaker Notes

The last one is the power player. This person thinks that they belong only when they are in control and when no one can boss them. A common reaction to this type of person is to feel provoked or threatened and react by fighting or giving in. They, then, either intensify their aggression or comply but only honoring the letter of the law and not the spirit. What is a solution? Disengage from the struggle. Help them to learn to use power constructively by enlisting their cooperation. Help them feel like they are a respected part of the solution.

What are the four common personality types and how can you avoid conflict with them?
1. **The attention grabber. Solution: Avoid giving them undeserved attention.**
2. **The victim. Solution: Encourage any positive attempt, not matter how small.**
3. **The revenger. Solution: Convince them that you respect their needs.**
4. **The power player. Solution: Disengage from the struggle.**

Of course there are many kinds of difficult people and many strategies to deal with them. But similar rules apply to each. By applying active listening and an intentional win/win approach, you can turn even the more difficult staff members into productive parts of your team.

One of the biggest duties of a manager is job performance review and evaluation. As a manager, you are strongly encouraged to discuss job performance and goals on an informal, day-to-day basis. You also need to do formal, written performance evaluations at the end of any employee's probationary period and annually after that. The purpose of all these performance reviews and evaluations is to discuss job tasks, identify and correct weaknesses, encourage and recognize strengths, and discuss positive approaches for meeting goals. No employee should be kept in the dark as to their job performance. Every employee should be know how they measure up to the job description, the supervisor's expectations, common sense, and areas for improvement. If you keep up on the informal, day-to-day job performance reviews, the annual employee evaluation will be much easier, and there will be no surprises for the employee.

How often should an employee's job performance be evaluated (formally and informally)? Informally on a day-to-day basis and formally at the end of probation and annually thereafter. Which evaluations should be in writing? End of probation and annual. When it comes to employee job performance reviews and evaluations, honesty is a good policy. It's hard to tell someone that they are not meeting the expectations of the job, especially if you feel they are working as hard as they can.

Problem 4: The Power Player. This person thinks that they belong only when they are in control and when no one can boss them. As manager, it is your job to be the boss, but they will fight your every move. Common responses are to feel provoked or threatened and react by fighting or giving in. In turn, their aggression is either intensified or they comply, but defiantly, honoring only the barest letter of your law as opposed to the spirit or intention of it.

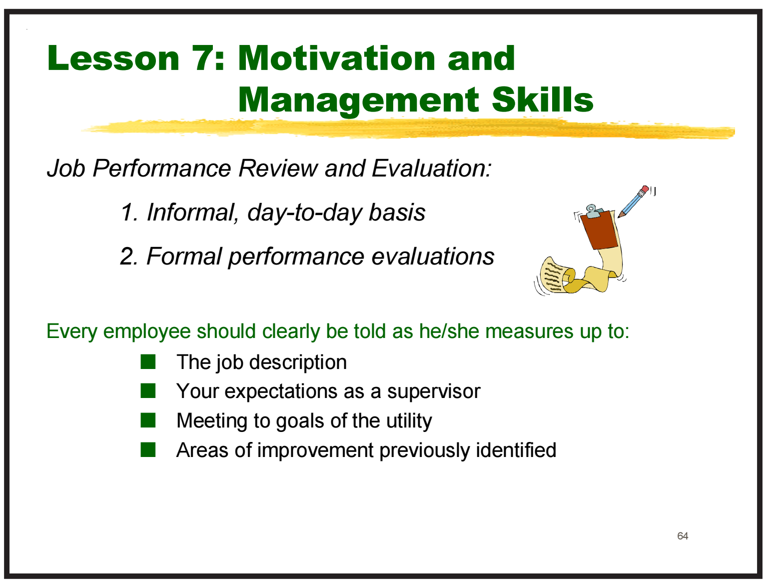
> **Solution 4: Disengage from the struggle.** Help them learn to use power constructively by enlisting cooperation. Support their self-worth and autonomy. Help them feel like they are a respected part of the solution.

Of course, there are other kinds of difficult people and many strategies to deal with them. But as you can see, similar rules apply for all of them. By applying active listening and an intentional win/win approach, you can turn even the more difficult staff members into productive parts of your team.

Job Performance Review and Evaluation

As a manager, you are strongly encouraged to discuss job performance and goals on an informal, day-to-day basis with every one of your employees. Formal written *performance evaluations* are conducted at the end of an employee's probationary period in any new position. This period allows the supervisor and the employee to discuss the job responsibilities, standards, and performance requirements of the new position. The formal performance evaluation should continue on an annual basis after the probationary period ends.

Regular performance evaluations are conducted to provide both supervisors and employees the opportunity to discuss job tasks, identify and correct weaknesses, encourage and recognize strengths, and discuss positive approaches for meeting goals.



No employee should ever be in the dark as far as how satisfactory his/her work is. Every employee should clearly be told how he/she measures up to:

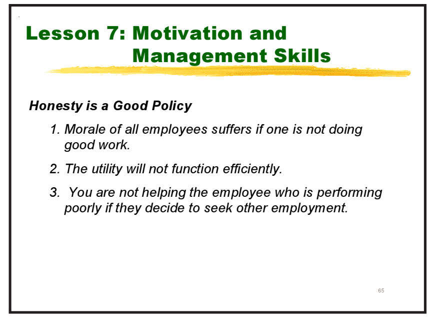
- ✓ The job description
- ✓ Your expectations as a supervisor
- ✓ Meeting the goals of the utility
- ✓ Areas of improvement previously identified

Honesty is a Good Policy

Far too often supervisors are reluctant to 'pass on the bad news.' It is hard to tell someone that he/she is not meeting expectations for a job when you, the supervisor, feel they might be working as hard as they can. Often the supervisor feels that the employee will improve as time goes along.

Lesson 7

Instructor Tips



Ideas for Real Life Examples

- Give an example of a manager who didn't want to give a bad performance review and evaluation to an employee who was related to a good friend and the result was low morale in the utility.

Potential Discussion Questions

- Why is it so risky not to be honest in job performance reviews and evaluations?

Speaker Notes

TIME BAR (3 hours 30 minutes)

This can be very risky because, as a supervisor, you are allowing less than adequate work to be considered competent. It also creates a number of problems:

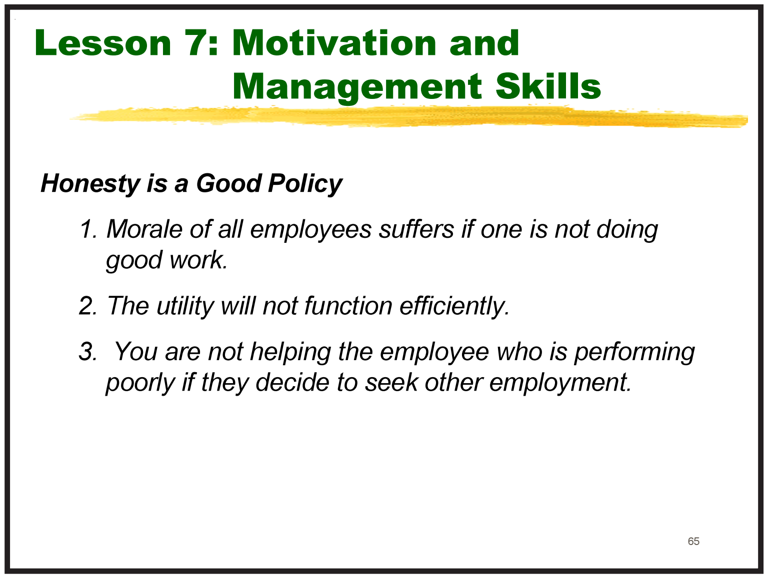
1. It lowers morale. If a co-worker doesn't do quality work, others may follow suit. Plus someone may have to redo that person's work.
2. It puts the utility in a dangerous situation if the incompetent co-worker is the only one around in an emergency situation. What will happen to the utility?
3. You are not helping out the employee if they don't know they're doing poorly. If he thinks he's doing fine, why would he strive to do better?

To sum up the job performance/ honesty section, you, as a manager, should consider the job performance review a very important part of your job. It is important to remember your number one obligation is to keep the utility running efficiently. It is important to make certain your employees are meeting your expectations. When you find an employee lacking in skills or commitment to being an employee, you should urge those people to find work elsewhere.

Exercise: Personnel File Documentation

This, however, is a very risky road to travel. The supervisor will be allowing less than adequate work to be considered as competent performance.

It also creates a number of problems.



First, it goes back to morale. Let's take the case of George, for example. If George isn't required to do quality work, then Mary, his coworker, might feel she doesn't have to put in as much time as it takes to be competent. Plus, someone else has to do — or redo — George's work and that person will probably not be paid to carry the extra load.

Second, a utility functions efficiently because every employee not only knows his/her job but also the overall mission of the utility. If George can't do his job, what will happen when he's called upon to keep the utility operating in an emergency? Will he know what to do? Does he have the ability to stop a small problem from becoming a health crisis? If you have been letting George slide, you may be setting up your utility and community for a disaster.

Third, you are not doing George any favors by judging him with a different ruler than you use for your other employees. George may not know he is doing poorly. He may think that he is doing just fine. If he's doing just fine, why should he strive to do any better? Worse, if he leaves the community and goes to work for a larger utility, he is going to find himself in trouble very quickly. Supervisors of larger utilities may not be as understanding as managers of smaller facilities. If working for a utility is the only marketable skill George has and he gets fired from the larger utility, he could have a very hard time finding any other kind of employment.

Overall, as a supervisor, you should consider the job performance review as a very important part of your job. As emotionally difficult as it is, some people should not be working for a water and wastewater facility. A careful discussion of their skills and performance as it relates to the job description should make it clear to them and to you that they should be seeking employment elsewhere. The sooner you and the employee recognize any shortcoming, the better.

Again, as a supervisor, it is important that you remember your number one obligation is to keep the water and wastewater utility operating efficiently. No employee will be perfect; you should not expect them to be. As a supervisor, your job is to make certain that your employees meet your expectations. Use the job performance review as your yardstick to measure just how satisfactory each employee's performance has been. When you find employees that are lacking in skill and/or commitment to be employees, it is also your job to ensure those employees are urged to find work elsewhere.

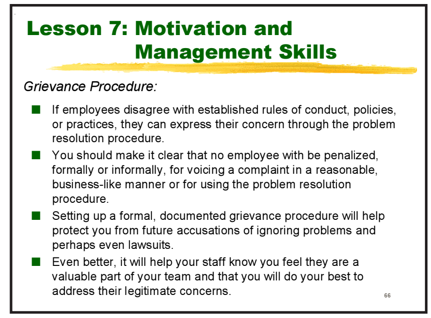
Lesson 7

Instructor Tips

- Have volunteers read the sample grievance procedure in the student manual.

References

Sample grievance procedures from other utilities



Ideas for Real Life Examples

- Give an example of a utility that changed a policy based on an employee's suggestion and the policy streamlined operations.

Potential Discussion Questions

- Does anyone have a grievance policy at their utility?
- Why bother treating employees fairly? You pay them to do their assigned job.
- Why do you need to protect an employee's right to disagree with established rules?

TIME BAR (3 hours 45 minutes)

Speaker Notes

As a manager, you should strive for fair and honest treatment of all employees. Employees should be encouraged to offer positive and constructive criticism. One of the ways you can do this is by establishing a problem resolution procedure that an employee can use if they disagree with established rules of conduct, policies, or practices. You should make it clear that no employee will be penalized for voicing a complaint in a reasonable, businesslike manner or for using the problem resolution procedure.

Review sample grievance procedure in the student manual. Have different volunteers read a step in the simple grievance procedure and allow time to discuss the procedure before moving on.

Grievance Procedure

Lesson 7: Motivation and Management Skills

Grievance Procedure:

- If employees disagree with established rules of conduct, policies, or practices, they can express their concern through the problem resolution procedure.
- You should make it clear that no employee with be penalized, formally or informally, for voicing a complaint in a reasonable, business-like manner or for using the problem resolution procedure.
- Setting up a formal, documented grievance procedure will help protect you from future accusations of ignoring problems and perhaps even lawsuits.
- Even better, it will help your staff know you feel they are a valuable part of your team and that you will do your best to address their legitimate concerns.

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As a manager, you should strive to ensure fair and honest treatment of all employees. Supervisors, managers, and employees are expected to treat each other with mutual respect. Employees are encouraged to offer positive and constructive criticism. Encourage an open and honest atmosphere in which any problem, complaint, suggestion, or question receives a timely response.

If employees disagree with established rules of conduct, policies, or practices, they can express their concern through the grievance procedure. You should make it clear that no employee will be penalized, formally or informally, for voicing a complaint in a reasonable, businesslike manner or for using the grievance procedure.

If a situation occurs when employees believe that a condition of employment or a decision affecting them is unjust or inequitable, steps should be available to them to rectify the situation.

A sample grievance procedure might be as follows:

1. The employee presents a problem to his or her immediate supervisor within ______ calendar days after incident occurs. If the supervisor is unavailable or the employee believes it would be inappropriate to contact that person, the employee may present the problem to the ______________________ or any other member of management.
2. The supervisor responds to the problem during the discussion or within _______ calendar days, after consulting with appropriate management, if necessary. The supervisor documents the discussion.
3. The employee presents the problem to the _______________________ within ____ calendar days, if the problem is unresolved.
4. The ____________________________counsels and advises the employee, assists in putting the problem in writing, visits with the employee's manager(s), if necessary, and directs the employee to the _________________________________for review of the problem.
5. The employee presents the problem to the _____________________________ in writing.
6. The ___________________ reviews and considers the problem. The _____________________ informs the employee of the decision within _____ calendar days and forwards a copy of the written response to the _______________________ for the employee's file. The ______________________ has full authority to make any adjustment deemed appropriate to resolve the problem.

Lesson 7

Instructor Tips

- Remember that text in red represents a worksheet or test question.

Ideas for Real Life Examples

- Give an example of a utility that has a grievance procedure, an employee followed it, didn't like the outcome, sued the utility, and the utility won because it followed it's procedure.

Potential Discussion Questions

- Can you prevent a lawsuit by having a grievance procedure?
- Are there other reasons (besides limiting lawsuits) to have a grievance procedure?

TIME BAR (4 hours)

Speaker Notes

Writing and documenting your grievance procedure is worth the effort. The most important thing is to ensure your employees have a way to make a formal request for attention to a problem.

Setting up a formal, documented grievance procedure will help protect you from future accusations of ignoring problems and perhaps even lawsuits.

Even better, it will let your staff know that you think they are a valuable part of the team and that you will do your best to address their legitimate concerns. You will be glad knowing that you set things up so that your workers are properly motivated, disciplined, and able to address their grievances.

A formal, documented grievance procedure is important because:

- **it protects the utility from accusations of ignoring problems**
- **it reduces the possibility of lawsuits**
- **it lets staff know that they are a valuable part of the team**
- **it lets staff know you will do your best to address their legitimate concerns**

If you did not hand out work sheets at the beginning of the lesson, you may hand them out now. Allow time for participants to complete the worksheets and discuss their answers.

Allow participants time to complete the action plan (refer to the action plan information on page ix in the front of this guide).

It is Worth the Effort

The sample on the previous page is one example of a formal grievance procedure. You can design your own. The important thing is to make sure your workers know they have some way to make a *formal* request for attention to a problem.

Setting up a formal, documented grievance procedure will help protect you from future accusations of ignoring problems and perhaps even lawsuits. Even better, it will let your staff know you feel they are a valuable part of your team and that you will do your best to address their legitimate concerns. You will be glad you have created procedures so all your workers are properly motivated, disciplined, and able to address their grievances.

Action Plans:

1. ______________________________

____

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2. ______________________________

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3. ______________________________

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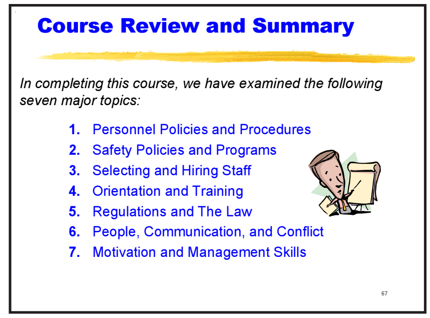
Course Review and Summary

Instructor Tips

- Allow time for participants to ask questions.



Ideas for Real Life Examples

Potential Discussion Questions

TIME BAR (4 hours)

Speaker Notes

Review page 115.

Exercise: Wrap-up

Exercise: Action Items

Exercise: Post Test and Certificates

Course Review and Summary

Conclusion to this Personnel Management Course

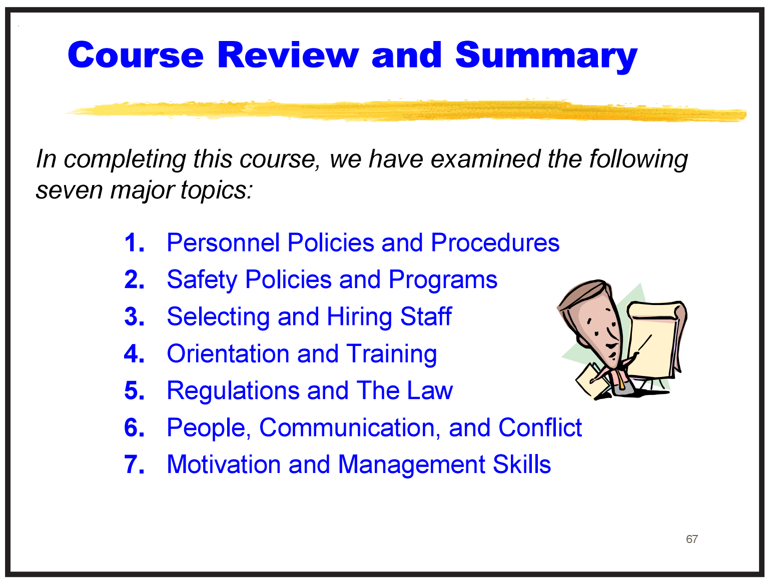
All organizations need skilled workers for their operations. They find them by bringing in new people and by training new and current employees. Your effective management will match and develop the abilities of job candidates and employees with the needs of your utility.

Personnel management is a balancing act. Hiring qualified people who are well suited to your utility's needs and training and developing employees to keep meeting those needs are the endpoints of the continuum. Most small organizations fall in the middle of this range—they hire the best people they can afford yet also recognize the need to train and develop current employees as required. We believe this course should provide you with a broad set of tools and insights that will help you focus and lead effectively.

Effective management of people, called personnel or human resources management, is one of the keys to the success of a utility manager. It is often the most difficult and it can be the most rewarding. It is difficult because it is hard to predict the response of an individual before our interaction with them. In addition, different personality styles, value systems, and communication processes cause misunderstandings and thus cause conflict between individuals and/or groups. In order to be effective, good managers set a clear direction for their staff, communicate that direction, provide the resources to get the job done, then praise those who move the job in the direction of the organization's goals and objectives.

In completing this course, we have examined the following seven major topics:

1. Personnel Policies and Procedures
2. Safety Policy and Programs
3. Selecting and Hiring Staff
4. Orientation and Training
5. Regulations and the Law
6. People, Communication, and Conflict
7. Motivation and Management Skills



And Now What?

Take this book back to your utility. Set aside fifteen minutes on your first day or two and flip back through the contents and chapters to remind yourself of what we've covered. If you really want to benefit most from all this time we've just spent, simply skim through this book every now and then, first once a week, then once a month, then once a year. It will keep reminding you of things we've covered, and you will begin to put some of them to use in your work. Education researchers have discovered that people learn best with periodic review. It doesn't take long and will help you make the most of this course.